

# **CHILD AND ADULT CARE FOOD PROGRAM CHILD CARE CENTER POLICY MANUAL**

Arizona Department of Education  
July 2002

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**ARIZONA DEPARTMENT OF EDUCATION  
CHILD NUTRITION PROGRAMS**

**CHILD AND ADULT CARE FOOD PROGRAM  
Child Care Center Policy Manual**

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# **CHAPTER 1**

## **INTRODUCTION**

**Section 1.1: General Information**

Good nutrition, the development of healthy eating habits and learning about food choices are vital building blocks for young children. Provisions must be made to ensure that these building blocks are in place to promote good health throughout life. Growing numbers of young children receive a significant proportion of their food in child care settings.

Those responsible for feeding children in child care centers have an important responsibility:

- To serve wholesome and attractive meals that follow the dietary guidelines and meet children's nutritional needs, and
- To make meal time a pleasant and sociable experience.

Sharing in this responsibility is the staff of the Child and Adult Care Food Program (CACFP). The CACFP is a U.S. Department of Agriculture (USDA) program that is administered by the Arizona Department of Education (ADE). The primary goal of the CACFP is to improve and maintain the health and nutritional status of children and adults in care while promoting the development of good eating habits. Programs participating in the CACFP must serve meals to *all* enrolled participants.

This policy and procedure manual is designed to provide sponsors with instructions on how to administer the CACFP and to help ensure wholesome, nutritious meals are served to children in child care centers. The contents of this manual are based on Federal Regulation 7 CFR 226 and other instructions and policies set forth by the United State Department of Agriculture and the Arizona Department of Education

The Child Nutrition Programs (CNP) staff is committed to assisting schools and organizations to improve the nutrition and well being of students so they can achieve their full potential.

This manual is intended to provide guidance for the administration of the Child and Adult Care Food Program. This manual is also intended to be used in conjunction with other CACFP manuals and resources such as, *CACFP Eligibility Guidance Manual for Center-based Programs*, *CACFP Management Handbook*, and the *CACFP Creditable Foods and Buying Guide*.

**Section 1.2: Glossary**

**Adult Day Care Center** - Any public or private nonprofit organization or proprietary organization that provides nonresidential services and receives compensation under Title XIX of the Social Security Act for chronically impaired disabled adults 18 years of age or older or persons 60 years of age or older with or without an impairment.

**Advance Payments** - Financial assistance made available to an organization for its estimated average Program costs.

**Alternate Approval** - Current documentation verifying compliance with the CACFP child care standards if licensing or approval is not available.

**Arizona Department of Education (ADE)** - The State Agency designated by legislative authority of the State of Arizona and has been approved by the U. S. Department of Agriculture to administer the CACFP.

**At-risk After School Snack Program** – A sub-program of the Child and Adult Care Food Program that provides Federal funds to public or private organizations for snacks served to children through the age of 18 who participate in organized programs that provide after school care in at-risk areas.

**Child and Adult Care Food Program (CACFP)** - A program that provides Federal funds to non-residential child and adult day care facilities, emergency shelters and certain after school care programs to serve nutritious meals and snacks.

**CACFP Child Care Standards** - Standards developed by the U. S. Department of Agriculture for alternate approval of child care facilities, outside-school-hours centers, and day care homes when licensing or approval is not available.

**Child Care Center/Facility** - Any public or private non-profit organization, or proprietary Title XX center as defined in this section, licensed or approved to provide nonresidential child care services to enrolled children, primarily of preschool age, including, but not limited to day care centers, preschools, Head Start centers, outside-school-hours child care centers, and organizations providing day care services for disabled children. Child care centers may participate in the Program as independent centers or under the jurisdiction of a sponsoring organization.

**Child Nutrition Programs (CNP)** - Federally funded programs administered through the U.S. Department of Agriculture. These programs include the CACFP, National School Lunch Program, School Breakfast Program, Summer Food Program, Special Milk Program, and Food Distribution Program.

**Claiming Percentage** – A method for computing reimbursement. Using this method, daily meal counts do not have to be maintained separately for each income category (Free, Reduced, and Paid). Instead, each month the total number of participants eligible for each category is divided by total enrollment to determine a claiming percentage for that category. The percentage for each category is then multiplied by the total number of each meal served for that month to establish the number of Free, Reduced, and Paid meals to be reimbursed.

**Creditable Foods** - Foods that meet regulations governing the CACFP in terms of nutrient content, meal pattern requirements, standards of identity, and other foods that may be counted toward meeting the requirements for a reimbursable meal.

**Current** – Period within the past twelve months prior to the submission of an application to participate in the CACFP.

**Current Income** - Income received by the entire household during the month prior to completing an income application.

**Cycle Menus** - Set(s) of menus planned and rotated for at least a minimum of a four-week interval.

**Department of Economic Security (DES)** - The State agency that administers the Federal Child Care Development Block Grant and provides Title XX subsidy under the Social Security Act for child care.

**Department of Health Services (DHS)** - The State agency designated by legislative authority of the State of Arizona to issue a license upon inspection and approval of a child care facility and its operations.

**Direct Certification** - Process of eligibility notification for the Free Meals Program sent by DES to households receiving Food Stamps or Cash Assistance benefits. This document may be accepted in lieu of a CACFP income application.

**Economic Unit** - A group of related or unrelated individuals sharing housing and/or all significant income and expenses.

**Eligible Children/Child** - (a) Person or persons 12 years old or younger, (b) Child(ren) of migrant workers 15 years old or younger, or (c) Mentally or physically disabled persons enrolled in a child care center serving a majority of persons 18 years old or younger.

**Enrolled Child** - A child whose parent or guardian has submitted a signed document to a child care center which indicates that the child is enrolled for child care.

**Fiscal Year** - A federal period of 12 calendar months beginning October 1 of any year and ending with September 30 of the following year.

**Food and Nutrition Services (FNS)** - The division of the U.S. Department of Agriculture that administers the CNP at the federal level.

**Food and Nutrition Services Regional Office (FNSRO)** - One of the seven U.S. Department of Agriculture regional offices that administers the CNP. Arizona is under the Western Region Office (WRO).



**Food Service Agreement** - A signed agreement between a child care institution and the State Agency for the purpose of operating the CACFP in compliance with the regulations governing the Child Nutrition Programs.

**Food Service Vendor/Provider** - A company or a public or private school with which a sponsor may contract for preparing and/or delivering meals for use in the CACFP.

**Household (Family)** - A group of related or unrelated individuals, who are not residents of an institution or boarding house, but who are living as one economic unit as defined under the definition of "economic unit".

**Income Application (affidavit)** – A form completed by each household for a child(ren) enrolled in a child care center to determine eligibility for participation in the CACFP.

**Income Guidelines** - Family size and income standards prescribed annually by the United States Department of Agriculture based on the federal poverty guidelines of income at or below 130% for Free, income above 130% but, at or below 185% for Reduced, and income above 185% for Paid.

**Income to the program** - Any funds used in an institution's food service, including, but not limited to: all monies received from Federal, State, intermediate or local government sources; payment for children's meals and food service fees; income from any food sales to adults; and other income, including grants or cash donations from individuals or organizations.

**Independent Center** - A center which enters into an agreement with the State Agency to assume final administrative and financial responsibility for the CACFP operations.

**Infant Cereal** – Any iron-fortified dry cereal specially formulated for and generally recognized as cereal for infants that is routinely mixed with formula or milk prior to consumption.

**Infant Formula** – Any iron-fortified infant formula, intended for dietary use as a sole source of food for normal, healthy infants served in liquid state at manufacturer's recommended dilution.

**Institution** - A sponsoring organization, child care center, preschool, outside-school-hours care center or adult day care center which enters into an agreement with the State agency to assume final administrative and financial responsibility for the CACFP operations.

**Internal Revenue Service (IRS)** - The Federal agency that grants non-profit, tax-exempt status to sponsoring organizations.

**Meals** - Food which is served to enrolled children in child care centers for breakfast, lunch, supper and snacks which meets the nutritional requirements as established by the CACFP and claimed for reimbursement.

**Milk** - Pasteurized fluid types of unflavored or flavored milk, low-fat milk, skim milk, or cultured buttermilk which meet State and local standards for such milk. All milk should contain vitamins A and D at levels specified by the Food and Drug Administration and be consistent with State and local standards for such milk.

**Non-pricing Program** – A meal service program in which there is no separate identifiable charge made for meals served to enrolled children.

**Nonprofit Food Service** - All food service operations conducted by the institution wherein all CACFP reimbursement funds are used solely for the operation or improvement of such food service.

**Nonresidential** - Enrolled children are not maintained in care for more than 24 hours on a regular basis.

**Operating Costs** - Allowable expenses incurred by an institution in serving meals to children enrolled in the CACFP.

**Outside-School-Hours Center** - Nonprofit, public or private organization or school, or a proprietary Title XX center, as defined under these definitions, licensed or approved to provide organized nonresidential child care services to enrolled children outside of school hours. Outside-school-hours care centers may participate in the CACFP as independent centers or under the auspices of a sponsoring organization.

**Pricing Program** – A meal service program in which a separate identifiable charge is made for meals served to enrolled children.

**Program** - The CACFP authorized by Section 17 of the National School Lunch Act.

**Program Year** - A federal year as defined under the definition of “fiscal year”.

**Proprietary Title XX Center** - Any private, for-profit center: (a) providing nonresidential day care services for which it receives compensation from Title XX of the Social Security Act, and (b) in which no less than 25 percent of the enrolled children or the license capacity are Title XX beneficiaries during the calendar month preceding initial application or annual renewal application for Program participation, or during any month for which reimbursement is claimed.

**Reimbursement** - Federal financial assistance paid to institutions for creditable meals or snacks served to enrolled children.

**Shift Care** - Term used to describe caring for children during different time periods of the day, not exceeding the approved license capacity at any one time. For example, a center that cares for 10 children between 7:30am-2:30pm and another group of children from 2:30pm-5:00pm after the first group goes home is providing shift care.

**Sponsor** - Public or private organization responsible for the administration of the Child and Adult Care Food Program as defined under the definition of “sponsoring organization”.

**Sponsoring Organization (SO)** - A public or nonprofit private organization which is entirely responsible for the administration of the food program in: (a) one or more day care homes; (b) a child care center or outside-school-hours care center which is a legally distinct entity from the

sponsoring organization; (c) two or more child care centers or outside-school-hours centers; or (d) any combination of child care centers, day care homes and outside-school-hours care centers. The term “sponsoring organization” also includes a for-profit organization which is entirely responsible for administration of the Program in any combination of two or more care centers and outside-school-hours care centers which are part of the same legal entity as the sponsoring organization, and which are for-profit Title XX centers.

**State Agency (SA)** - The agency designated by the legislative authority of the U.S. Department of Agriculture to administer the CACFP.

**U.S. Department of Agriculture (USDA)** - The Federal agency responsible for the administration of the Child Nutrition Programs.

**Section 1.3: Administration**

At the national level, the U.S. Department of Agriculture (USDA), Food and Nutrition Services (FNS) administers the CACFP. The national office develops regulations, publications, and forms, and establishes the policies necessary to carry out the Program. The national office is also responsible for oversight of the Program and providing guidance to ensure delivery of Program benefits to eligible children.

The Arizona Department of Education is the State Agency which administers the CACFP in Arizona. The office is located at:

**Arizona Department of Education  
Division of Student Services/Child Nutrition Programs  
2005 North Central Avenue  
3<sup>rd</sup> Floor  
Phoenix, AZ  
TEL: (602) 542-8700  
FAX: (602) 542-3818**

The mailing address is:

**Arizona Department of Education  
Child Nutrition Programs, Bin 7  
1535 West Jefferson Street  
Phoenix, AZ 85007**

Information is also available on our website:

[www.ade.az.gov/health-safety/cnp/cacfp](http://www.ade.az.gov/health-safety/cnp/cacfp)

Units that support CNP functions at the Arizona Department of Education are:

**BUSINESS AND FINANCIAL SERVICE**

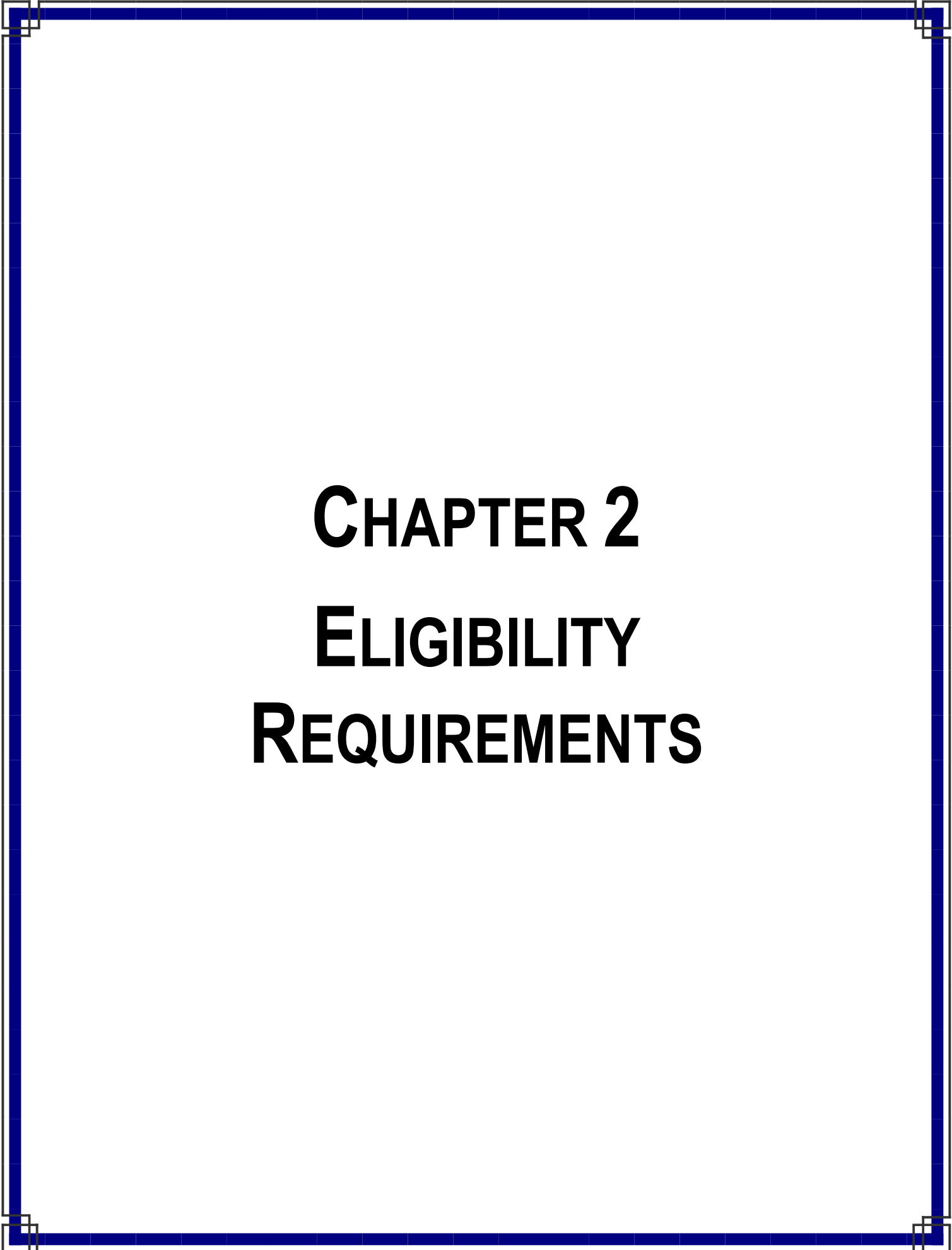
**Accounting Unit  
(602) 542-4277**

**Financial/Claims Unit  
(602) 542-8714**

**Section 1.4: Administrative Assistance**

The following assistance can be expected with participation in the CACFP:

- Training on Program policy and requirements, application procedures, food program administration procedures and nutrition education;
- Monitoring of child care centers to ensure that the food program is administered in accordance with Program regulations and requirements;
- Technical assistance and consultation;
- Information on audit and administrative review requirements;
- Timely application processing;
- Reimbursement for eligible meals;
- Forms, publications and guidelines to assist with Program operations;
- Procedures for child care centers to appeal decisions affecting participation or reimbursement;
- Procedures to ensure that child care centers do not discriminate on the basis of national origin, race, color, gender, age, disability. (Not all prohibited bases apply to all programs.)
- Distribution of CACFP guidance and resource materials.



# **CHAPTER 2**

## **ELIGIBILITY REQUIREMENTS**

**Section 2.1: Eligible Participants**

Sponsoring organizations with one or a combination of the following types of facilities may participate in the CACFP.

- Child care centers
- Preschools
- Outside-Schools-Hours centers
- Head Start programs
- Emergency shelters
- After school programs

A sponsor who claims meals that are reimbursed under the School Breakfast Program, National School Lunch Program and Summer Food Service Program may not be eligible to claim those same meals under the CACFP.

A sponsor must assume final administrative and financial responsibilities for all facilities that operate the CACFP.

**Section 2.2: Non-profit Centers**

**Public or private non-profit centers** must meet the following criteria to be eligible to participate in the CACFP:

- Provide non-residential child care.
- Have tax-exempt status under the IRS Code Section 501(c) 3.
- Be licensed by DHS **or**
- Unlicensed child care centers must demonstrate compliance with applicable State or local child care standards to ADE. Current fire safety and sanitation/health inspections and the *Child Care Standards For Nonlicensed Facilities* form must be on file and copies must be submitted. Centers complying with applicable procedures to renew licensing or approval may participate in the CACFP during the renewal process unless ADE has information which indicates that renewal will be denied.

**Child Care Centers on Military Bases** are eligible for CACFP participation. Centers operated by any branch of the military must submit certification from their Headquarters and a Program Facilities Report in place of DHS licensing.

**Child Care Centers on Indian Reservations** are eligible for CACFP participation. A center on the reservation must submit the environmental health survey report or sanitation permit issued by Indian Health Services in place of DHS licensing.



**Section 2.3: Proprietary Centers**

**Proprietary or for-profit centers** must meet the following criteria to be eligible to participate in the CACFP:

- Provide non-residential child care.
- Be licensed by DHS **or**
- Unlicensed child care centers must demonstrate compliance with applicable State or local child care standards to ADE. Current fire safety and sanitation/health inspections and the *Child Care Standards For Nonlicensed Facilities* form must be on file. Centers complying with applicable procedures to renew licensing or approval may participate in the CACFP during the renewal process, unless ADE has information which indicates that renewal will be denied.
- Receive compensation under Title XX of the Social Security Act for at least 25% of the total enrollment or license capacity, whichever is less.

For each month the sponsor submits a claim for reimbursement, 25% of enrolled children or license capacity, whichever is less, must be determined as Title XX recipients. If less than 25% of the enrolled children or the license capacity are Title XX recipients, the sponsor cannot claim meals for that month. For the purposes of the CACFP, enrolled is defined as any child who has documentation of enrollment and who attended at least one day during the month.

**Section 2.4: Outside-School-Hours Centers (OSHC)**

The requirements of **outside-school-hours centers** or **programs** are essentially the same as required for child care centers. Outside-school-hours care centers may apply as an independent institution or under the jurisdiction of a sponsoring organization. An OSHC must meet the following criteria to be eligible to participate in the CACFP:

- Be a public or private non-profit center as described in Section 2.2.
- Provide organized child care services outside of school hours to enrolled school-age children twelve years and younger.
- Be licensed by DHS **or**
- Unlicensed child care centers must demonstrate compliance with applicable State or local child care standards to ADE. Current fire safety and sanitation/health inspections and the *Child Care Standards For Nonlicensed Facilities* form must be on file. Centers complying with applicable procedures to renew licensing or approval may participate in the CACFP during the renewal process, unless ADE has information which indicates that renewal will be denied.
- May not operate under the CACFP on weekends.

**Section 2.5: Head Start Programs**

The requirements for Head Start Programs are essentially the same as required for child care centers.

- Be a public or private non-profit center as described in Section 2.2.
- Provide non-residential child care.
- Be licensed by DHS. Head Start Programs on Indian Reservation must have current sanitation permits or environmental health surveys issued by Indian Health Services or demonstrate compliance with applicable State or local child care standards to ADE. Centers complying with applicable procedures to renew licensing or approval may participate in the CACFP during the renewal process, unless ADE has information which indicates that renewal will be denied.

**Section 2.6: Emergency Shelters**

Emergency shelters must meet the following criteria to be eligible to participate in the CACFP:

- Be a private non-profit organization, state or local government, or other public entity. Private non-profit sponsors and shelters must have tax-exempt status under the IRS Code of Section 501 (c)(3).
- Provide temporary shelter to children age 12 and under and their parents or guardians.
- Operate a congregate (group) meal service in their shelters.
- Sites or shelters must meet applicable State and local health, safety and sanitation standards.

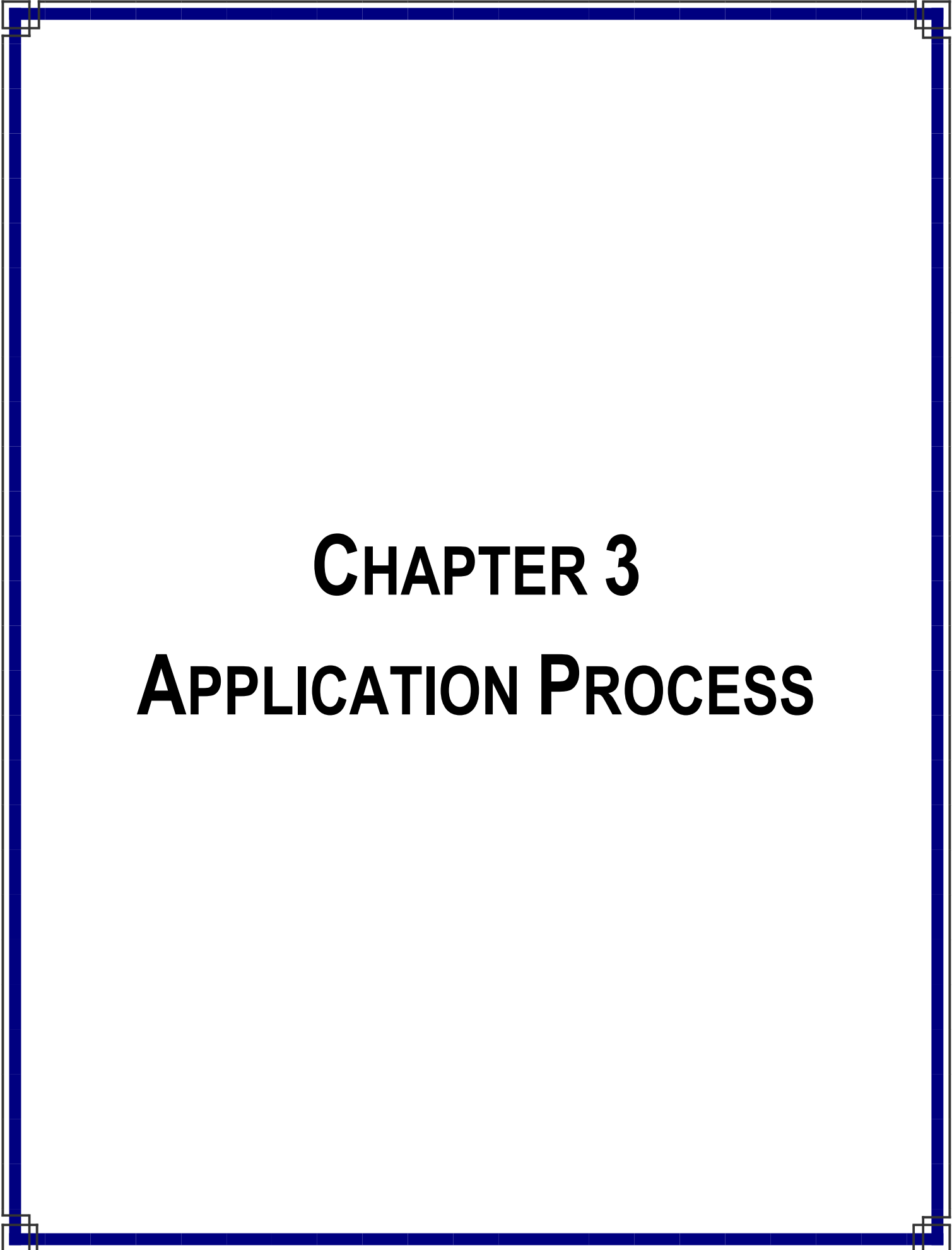
**Section 2.7: At-Risk After School Snack Programs**

Public or private organizations, including schools must meet the following criteria to be eligible to participate in the after school component of the CACFP.

- Provide regularly scheduled activities to children age 18 and under in an organized and supervised environment.
- Include educational or enrichment activities; and
- Be *area eligible* (i.e., located within the attendance area of a school in which 50 percent or more of the children enrolled are eligible for free and reduced-price school meals).
- Meet State and local health and safety standards.

Organized athletic programs engaged in competitive interscholastic or community level sports (i.e. *Pop Warner*, area swim teams, community soccer leagues, etc.) are not eligible to receive after school snack reimbursement under the CACFP. After school programs with an athletic component that is open to all and does not limit participation for reasons other than space, security, or licensing requirements, and uses sports and recreational activities to provide constructive opportunities to youths in the community may participate.

Reimbursement under the after school snack component of the CACFP is limited to one (1) snack per child per day. Snacks served to children who attend a child care center after their school day has ended may qualify for after school snack reimbursement provided the center is area eligible. Children enrolled in a child care center who do not attend school would continue to participate under the traditional CACFP meal service. Centers operating both the traditional and the after school components of the CACFP, may only claim a **total** of two (2) meals and one (1) snack, two (2) snacks and one (1) meal, or three (3) snacks per child per day.



# **CHAPTER 3**

## **APPLICATION PROCESS**

**Section 3.1: Application for Participation**

An application for participation in the CACFP must be submitted to ADE/CNP. Once a sponsor has completed an initial application, they must complete a renewal application at the start of every fiscal year. The fiscal year runs October 1<sup>st</sup> of the current year through September 30<sup>th</sup> of the following year. Application for participation in the CACFP may be made using a hard copy application or by completing the web-based application via the internet. Regardless of which method is used to apply to the Program, detailed instructions for completing and submitting all of the required documentation are provided with the application.

Complete applications received by ADE/CNP will be processed within 30 days.

Application will be notified within 15 days if their application is incorrect or missing information.

A sponsor may file an appeal if the application was denied.

### Section 3.2. Additional Application Requirements

In addition to the information discussed in Section 3.1, the following information must be submitted as it applies:

#### License or Approval

The CACFP requires facilities that operate the CACFP must be licensed or approved by Federal, State or local authorities or must demonstrate compliance with applicable State or local child care standards if licensing is not available. License or approval documents must be current. Sponsors whose license or approval have been suspended or revoked must notify ADE immediately. The following documentation must be submitted to meet license or approval requirements:

- **DHS License** – Facilities inspected and approved by DHS to operate may include, but are not limited to, child care centers, preschools, Head Start centers, outside-school-hours centers, and non-residential homeless shelters. A copy of the compliance evaluation report or provisional license may be submitted if the sponsor has not yet received the official license. It is the responsibility of the sponsor to provide ADE a copy of the official license once it is received. If DHS denies issuance of or revokes a license, the sponsor must notify ADE immediately. ADE shall terminate the participation of the sponsor until such time a license is issued.
- **CACFP Child Care Standards For Nonlicensed Facilities** – When licensing or approval by DHS is not available, a sponsor may demonstrate annual compliance by following and completing the CACFP Child Care Standards, providing a current health/sanitation permit or satisfactory report of an inspection conducted by local authorities, and providing a current fire/safety permit or satisfactory report of an inspection conducted by local authorities within the past 12 months. Nonlicensed facilities may include, but are not limited to, outside-school-hours centers and non-residential homeless shelters.
- **Environmental Health Survey or Sanitation and Building Permit** – Child care facilities on Indian Reservations regulated by Indian Health Services must submit copies of the survey or permit.

#### Tax-Exempt Status

In order to participate in CACFP as a non-profit organization, sponsors or institutions must submit documentation that they have obtained tax-exempt status under the IRS Code Section 501(c)3. Sponsors moving toward compliance with the requirements for tax-exempt status may participate in the Program as a proprietary center, provided the Title XX requirement is met, until tax-exempt status is obtained. For more information on the Title XX requirement, please refer to section 2.3



### Section 3.3: Application Changes

Sponsors participating in the CACFP are required to complete all information required for application approval. Once the application has been approved, changes throughout the current fiscal year may be completed on-line or submitted in writing to ADE.

The sponsor shall update ADE with the following changes:

- Address
- Telephone number(s)
- Name change(s) or program contact
- Adding or terminating/dropping site(s)
- Adding or discontinuing a meal and/or snack
- License/approval status
- Licensed or approved capacity
- Tax-exempt status
- Management
- Other changes affecting reimbursement
- Authorized signers (if applicable)

Participation in the CACFP is non-transferable. New owners or owners with status change that requires a new license from the Arizona Department of Health Services must submit a new Program application. A sponsor must notify the ADE in writing 30 days in advance pending a status change in any of the following:

- Ownership – The sale or the intent to sell the child care business or child care facility.
- Management – Changes such as, but not limited to, from sole proprietorship to partnership, from corporation to incorporation, from sole proprietorship to incorporation, or any other change in legal status.
- Tax-filing status – The change affecting the Federal Tax Identification number or Employer Identification number.
- License or approval status - A change that may affect ownership, management and/or tax-filing status.

**Section 3.4: Addition of New Sites**

Sponsors may add additional sites to their application at any time during the fiscal year. Prior to CACFP participation, a sponsor must:

1. Conduct a pre-operational visit at the proposed site and complete the Pre-Operation Site Visit Form. This form is found in the CACFP Management Plan. Completed checklist must be maintained in Sponsor's permanent records.
2. Provide training to staff members at proposed new site. Training must include the benefits of CACFP participation, Program duties and responsibilities. Sponsor must maintain staff training records. Records include training agendas and rosters.
3. Collect a current CACFP Affidavit for Free and Reduced-Price Meals for every child that attends the center. DES direct certification letters are acceptable in place of affidavits. Maintain the affidavits and direct certification letters in permanent records.
4. Complete a CACFP Center Site Application for the new site. Maintain a copy for your permanent records.
5. Update the Training Plan to include the new site. Sponsoring organizations with more than one site are required by Federal Regulations to provide training to staff no less than once a year on topics that relate to the food program. Records of this training must be maintained by sponsoring organization.
6. Update the Monitoring Plan to include the new site. Sponsoring organizations with multiple sites must conduct site reviews to assess compliance with meal patterns, record-keeping and other Program requirements. One copy of the Site Review must be maintained at the site and one in the Sponsoring Organization's permanent files.

**Submitting information for approval**

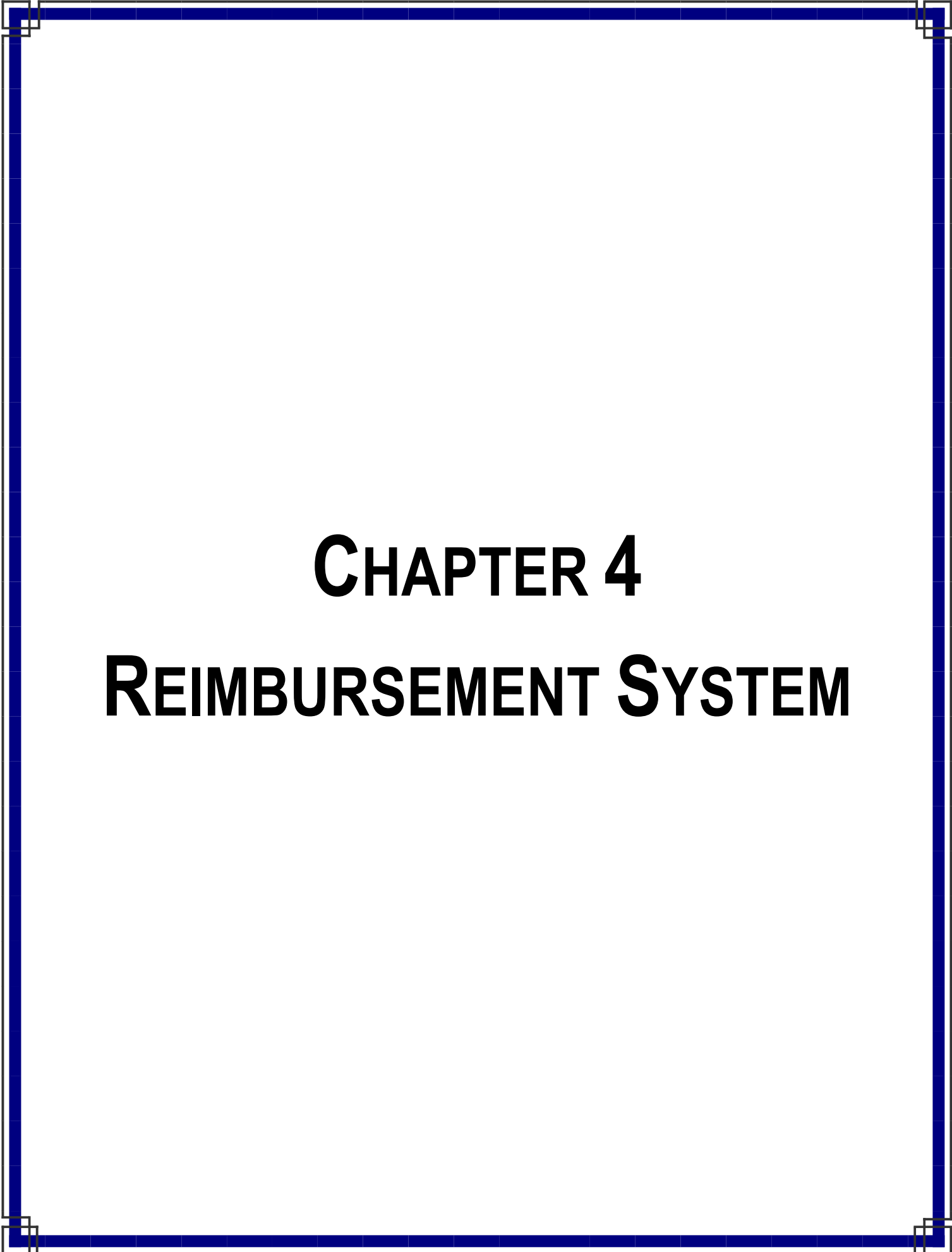
The following documents must be received by the Arizona Department of Education in order to initiate participation in the CACFP by the new site:

- Completed CACFP Center Site Application
- A copy of the current child or adult care license; and
- A copy of the updated Management, Training and Monitoring Plan.

**Section 3.5: Application Renewal**

An application for CACFP participation must be submitted to ADE annually. Applications for the new fiscal year are due October 1<sup>st</sup> (or the first business day of October).

Renewal applications are similar to the initial application. ADE provides sponsors the application and other required materials to renew participation each year. Renewal applications may be submitted using the web-based application system via the internet or as a hard copy application.



# **CHAPTER 4**

## **REIMBURSEMENT SYSTEM**

**Section 4.1: Reimbursement Rates**

Reimbursement rates are national payments for meals/snacks served to enrolled children who participate in the CACFP. The ADE/CNP notifies sponsors of the CACFP reimbursement rates for the period July 1<sup>st</sup> of the current year through June 30<sup>th</sup> of the following year. The reimbursement rates are based on changes in the Consumer Price Index of the preceding year and published in the Federal Register by USDA. Current reimbursement rates are included the CACFP application materials.

Sponsors also receive cash-in-lieu (CIL) of commodities as additional assistance for each lunch or supper served. Current CIL rates are included in the CACFP application materials.

A claiming percentage is calculated on a monthly basis by ADE dependent on the family size and income level of the household of each enrolled child for that month. Sponsors are responsible for maintaining current income eligibility information for each child enrolled in the center. For further information on maintaining income eligibility, please refer to the *CACFP Eligibility Guidance Manual for Center-based Programs*.

**Section 4.2: Claiming Percentages**

In order to determine the amount of reimbursement for each sponsor, ADE calculates a claiming percentage. Claiming percentages are calculated on a monthly basis and are dependent on the number of children classified as free, reduced or paid, divided by the total enrollment, then multiplied by the reimbursement rate per meal type. The following steps are used to establish the claiming percentage for a specific meal type:

Step I:  $\frac{\text{\# of free children}}{\text{total enrollment}} = \text{_____} \times \text{\# of meals served during the month} \times \text{meal reimbursement for free} = A$

Step II:  $\frac{\text{\# of reduced children}}{\text{total enrollment}} = \text{_____} \times \text{\# of meals served during the month} \times \text{meal reimbursement for reduced} = B$

Step III:  $\frac{\text{\# of paid children}}{\text{total enrollment}} = \text{_____} \times \text{\# of meals served during the month} \times \text{meal reimbursement for paid} = C$

Step IV:  $A + B + C = \text{meal reimbursement for that month}$

### Section 4.3: Claims Processing

Claims for reimbursement may be submitted electronically via the internet or as hard copies.

Claims for reimbursement are due on the 10th of the month to the ADE/CNP Finance Unit. Federal regulations allow ADE forty-five (45) days to process claims. Claims received after the 10th of the month or claims that require correction by the sponsor are held until the next month for processing. If the 10<sup>th</sup> of the month falls on a weekend or holiday, the claim is due the following business day. Hard copy claims may be submitted to the Finance Unit by mail or by facsimile. It is not necessary to mail the claim if initially submitted by fax. Sponsors may call the ADE/CNP office to verify receipt.

Claims that are filed electronically with any errors will not be accepted for submission by the web-based system. Hard copy claims with any error cannot be processed for payment. The Finance Unit will attempt to contact the child care administrator to correct the claim. The error must be corrected before processing can be completed. Correction of errors may delay payment until the next month. Accuracy in completing the claim is vital for timely payment. Once the claim is processed, the checks are generated and mailed to the address provided on the application.

The CACFP requires for-profit centers to maintain at least 25 percent Title XX recipients of the license capacity or enrollment, whichever is less, each month a claim is filed. To determine Title XX eligibility:

1. Determine the number of enrolled children in attendance during the claim month. Children in attendance includes part-time and drop-in care. All children in attendance must be included in the calculation regardless of whether they were claimed for a meal.
2. Determine the number of enrolled Title XX children in attendance during the claim month. These are children on the DES Assists Billing Forms claimed for child care subsidy.
3. Divide the Title XX children by the total number of children in attendance for the claim month. If this number is greater than or equal to .25 (25%), a claim may be submitted that month. If the number is less than .25, the center is not eligible to claim for that month.

Example: After reviewing the attendance records of the month of October, it is determined that 50 children came at least one day during the month. Of those 50 children, 12 were DES Title XX children.

$$12 \div 50 = .24$$

The center is ineligible to claim for October because .24 is less than .25. Twenty-five percent (25%) of the total enrollment or the license capacity, whichever is less, must be Title XX recipients. There is no Title XX requirement for non-profit centers.

Institutions must have a current DHS license each month a claim is filed. Institutions who are exempt from licensing must comply with the CACFP Standards for nonlicensed facilities.

ADE/CNP will not reimburse an institution that does not have a current license or approval or for meals served in excess of license capacity at any one time.

Only authorized signers may sign hard copy claims for reimbursement. ADE must be notified in writing if there is a change in authorized signers. Changes must be indicated on the Authorized Signature Report and submitted to the CACFP prior to filing a claim. A change may include but not limited to, new staff and staff who are no longer employed by the institution. By signing the claim, the authorized signer certifies that the claim is correct and records are available to support the claim. Claims submitted via the internet can only be submitted with the use of a PIN number which serves as an electronic signature.

Sponsors whose program application was approved within 10 days of the end of the month or whose program participation ends within 10 days of the beginning of the month may combine the partial month with a full month on a claim for reimbursement. However, the claim for reimbursement may not be combined the last month of a fiscal year (September) with the first month of the next fiscal year (October) or when reimbursement rates change (June cannot be combined with July).

### **Late Claims**

A monthly claim for reimbursement must be submitted to ADE within 60 calendar days from the last day of the claim month. Claims filed after 60 days that result in an increase in reimbursement will not be processed unless a one-time exception is requested. (Refer to Section 4.4.) Revised claims resulting in a reduction of reimbursement may be submitted to ADE at any time.



**Section 4.4: One-Time Exceptions**

All claims or revised claims for reimbursement must be submitted within 60 calendar days from the end of the claiming month or claims cannot be paid. If they are not submitted within the 60-calendar-day period, the institution may request for an exception in one of two ways:

**Circumstances Within The Sponsor's Control:**

Each sponsor is allowed an exception for the submission of a late or revised claim that was *within the sponsor's control* if a similar exception has not been granted during the previous 36-month period. In order for the sponsor to receive this exception, the sponsor must submit an acceptable Corrective Action Plan (CAP) to ADE for approval. The CAP must contain the following:

1. A description of the problem contributing to the lateness of the claim.
2. Actions taken to avoid any future late claim submissions.
3. A statement recognizing the One Time Exception may be requested only every after three (3) years or a 36-month period, whichever is later.
4. The signature of the person who entered into the agreement with the State to operate the program.

Upon receipt of the CAP, it will be reviewed to determine whether it sufficiently addresses the reason for lateness and the actions to remedy the late submission. The CAP is approved, the late claim will be processed for payment. If it is not approved, ADE will advise you of the deficiencies which need to be addressed.

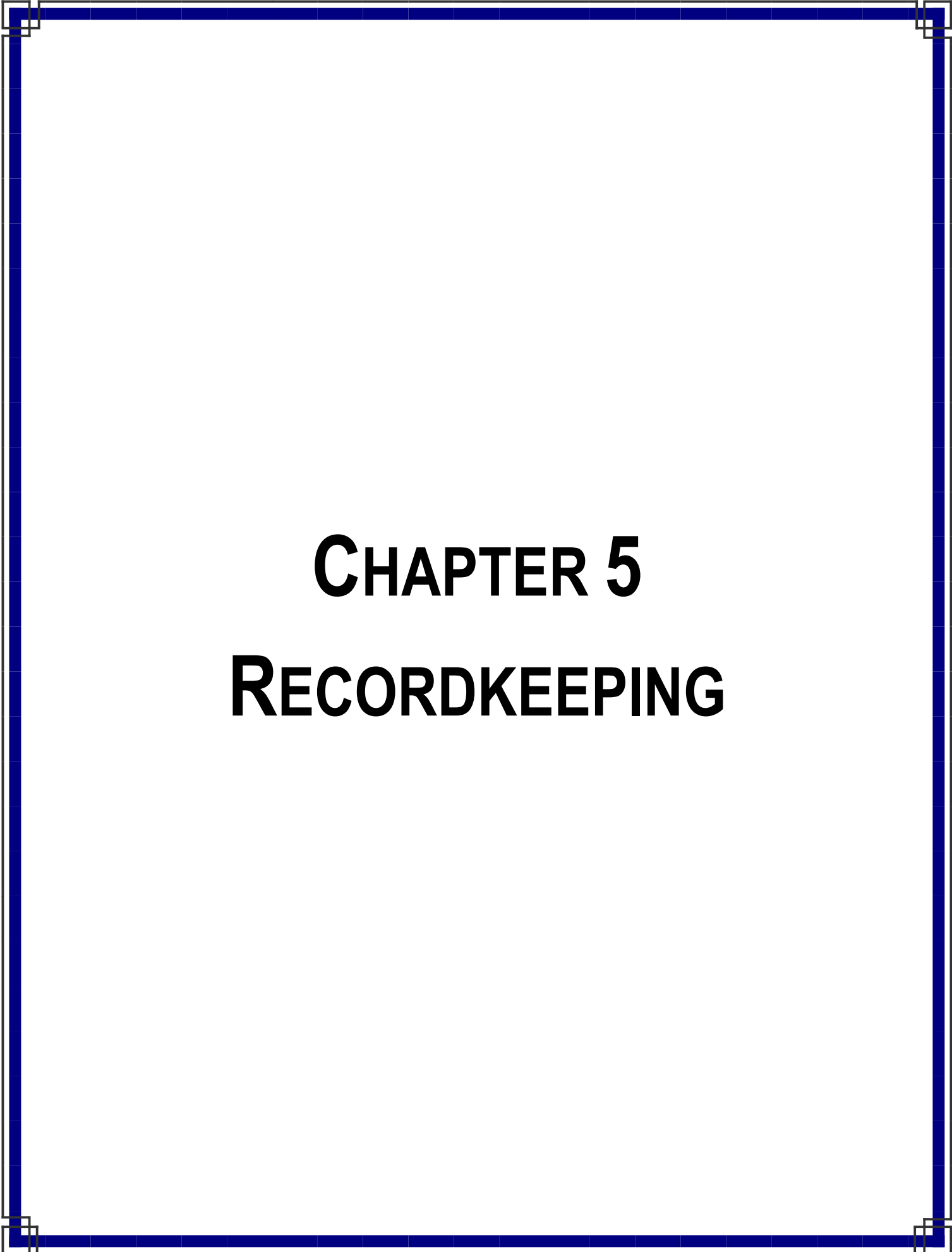
**Circumstance Beyond The Sponsor's Control:**

If the sponsor's claim is late due to circumstances *beyond the sponsor's control*, the sponsor may submit the claim with detailed and documented written evidence. ADE will review the sponsor's documentation and send it to the USDA Regional Office for approval. The Regional Office will analyze the evidence and make the final determination as to whether the circumstances warrant payment. If USDA does not approve, the sponsor may still request the one-time exception described above.

**Section 4.5: Advances**

An advance payment is financial assistance made available to institutions for Program costs prior to the period in which the costs are incurred. Advances are made monthly and recovered in the subsequent month after they are issued.

A request for an advance can be made when the institution submits an initial or renewal application for participation in the CACFP. If the institution is new and there is no claim history information on which to base the advance, a CPA audit is required. For new centers where CPA audits have not been conducted, the amount of advance may be paid based on the reimbursements of a similar child care facility. ADE will notify the sponsor of the eligible amount of the advance in writing. The sponsor may accept or decline the full or partial amount of the advance by notifying ADE.



# **CHAPTER 5**

## **RECORDKEEPING**

**Section 5.1: Application Information**

Sponsors are required to submit an application each year to participate in the CACFP. Based on the information submitted in the application, ADE/CNP creates a computer database for each child care center. The monthly claims for reimbursement submitted by the child care center are compared to the information in the database.

The sponsor shall notify ADE of changes regarding any information which could affect the claims for reimbursement or its participation in the CACFP. (Refer to Section 3.4.) A delay in reimbursement may result for sponsors who fail to notify ADE of any changes.

Sponsors are required to maintain records for a period of five (5) years to support monthly claims for reimbursement and compliance with Program requirements. If administrative review or audit findings have not been resolved, the records shall be retained beyond the end of the five-year period or as long as it may require until such issues raised are resolved.

All accounts and records pertaining to the CACFP shall be made available upon request to representatives of the ADE-CACFP, the USDA, or the U.S. General Accounting Office for audit or review, at a reasonable time and place. If records are unavailable to support claims for meals paid for reimbursement, all meals will be disallowed which will result to an overpayment for which the sponsor will be responsible. The sponsor will then be listed as seriously deficient.

**Section 5.2: Attendance**Sign-In/Sign-Out Records

Attendance records must be maintained as part of the monthly CACFP recordkeeping. Standard sign-in/sign out records or an automated sign-in/sign-out system is acceptable. Daily attendance records cannot be used alone as a basis for completing the meal count record.

Enrollment Records

All children in care and claimed for reimbursement must be enrolled. Drop-ins must also have enrollment records on file. The number of children enrolled is the total number of children who attended the center during the claim month, regardless of whether or not they ate a meal.

Income Affidavits

An income affidavit or eligibility documentation (i.e. direct certification, Head Start eligibility) must be on file for each child listed on the Free and Reduced claiming percentage rosters. Applications that are complete, signed and dated on or after September 1 are valid for the duration of the current fiscal year. For more information on maintaining income eligibility, please refer to the *CACFP Eligibility Guidance Manual for Center-based Programs*.

**Section 5.3: Title XX**Title XX Records (applicable to for-profit centers)

For each month a claim is filed for reimbursement , the center must verify that at least 25% of the total enrolled children or license capacity, whichever is less, are Title XX beneficiaries. If the 25% Title XX criteria is not met for any given month, that center cannot file a claim for that month. To be counted as a Title XX beneficiary, a child must be claimed for at least one day on the monthly DES assist billing form.

**Section 5.4: Meal Counts**Daily Meal Count Records

Meal count records for each meal served during the month must support each claim for reimbursement. The meal count record must indicate the daily number of meals served to enrolled children by type of meal: breakfast, lunch, supper or snack. Meal counts must be taken at *point of service*, (i.e. while children are seated and eating) and recorded accurately.

Weekly Attendance Meal Record (WAMR)

Sponsors who serve more than two meals and a snack or two snacks a meal are required to maintain the weekly attendance meal record. As a reminder, sponsors can claim up to two meals and one snack, one meal and two snacks, or three snacks per child per day. Emergency shelters may claim 3 meals per child per day.

Computer-Generated Meal Count System

Sponsors who utilize a computer-generated meal count system must obtain prior approval from ADE. Documentation of approval must be maintained on file. Sponsors may claim meals using a computer-generated meal count system effective the day approval was obtained from ADE. Meals will be disallowed if prior approval was not obtained or documentation of approval is not available.

**Section 5.5: Food Service Costs**

Costs associated with the CACFP are not reimbursable but are maintained to ensure that sponsors are operating a non-profit food service. Documentation must be available to demonstrate that sponsors are spending more to operate their food service than they are receiving in reimbursement from the Program. The following documentation must be maintained to demonstrate a non-profit food service operation.

**Food Service Cost Report**

The Food Service Cost Report is used to record the amount of money spent on CACFP food and supplies. Food expenses may include food, milk and other food items used to prepare a creditable meal. Expenses for supplies used in the food service may include paper products such as plates, plastic spoons/forks, and table napkins, cleaning supplies such as dishwashing detergent and bleach to sanitize dishes and kitchen equipment.

**CACFP Expense Worksheet**

The CACFP Expense Worksheet is used to record labor and facility costs associated with the Program. Labor costs include wages and benefits paid by the sponsor to employees directly involved in the operation and administration of the CACFP. Labor may include time allocated to food preparation and service, food purchasing, cleaning of the food preparation and service areas, supervision of meals, menu planning, or recordkeeping and other administrative duties.

Facility expenses are allowable costs related to the CACFP that may include fees for rent, utilities, or maintenance or other contracted services. The portion of each of these costs must equal the portion of the total facility that is used in the operation of the CACFP. Thus if 25% of the facility is used for the operation of the CACFP, then no more than 25% of the rent, utilities, and maintenance services may be reported on the claim.



**Section 5.6: Menus and Food Production Worksheets**Menus

Menus must be maintained for all meals claimed for reimbursement and must indicate all food components that meet the meal pattern requirements.

Production Worksheets

Production worksheets may be used to ensure that sufficient amounts of food were prepared for the number of children claimed and adults served. Production worksheets should be completed in advance, prior to meal preparation and used as a tool to:

- Plan for the amount of food needed
- Be used as a food purchase list
- Record actual amounts of food used

New sponsors are required to maintain production worksheets for every meal claimed for CACFP reimbursement. Production records must be maintained until a CACFP Specialist determines that the meals served are sufficiently meeting CACFP meal pattern requirements. After such determination, production records may be maintained on a voluntary basis. If at any time ADE, or a representative thereof, determines that there is not adequate documentation to support fulfillment of the meal pattern requirements, production records will again be required for all meals.

Blank production worksheets and instructions for completing them are included in the *CACFP Creditable Foods and Buying Guide*. To obtain a copy of the buying guide, please contact the Child Nutrition Programs office.

**Section 5.7: Additional Documentation**Tax-Exempt Status (applicable to non-profit centers)

Non-profit centers must maintain documentation from the IRS of their tax-exempt status or the IRS 501 (c)(3).

License or Approval

Sponsors are required to have current license or approval if licensing is not available. Current DHS license, Environmental Health Survey or Child Care Standards with Fire/Safety and Health/Sanitation Inspection for non-licensed facilities must be on file. Maintain a copy of the license or approval that corresponds to each year of program participation.

Claims

Sponsors are required to maintain a copy of each claim filed for reimbursement.

Current Management Plan

All sponsors must have a copy of their current management plan on file for every year that they participate in the Program.



# **CHAPTER 6**

## **CIVIL RIGHTS**

**Section 6.1: Data Collection**

Sponsors are required to obtain an annual statistical racial/ethnic breakdown of the area being served and maintain it on file with CACFP records. This is done by utilizing the year-end enrollment data of the nearest school in the area or by contacting the DES Research Administration Population Statistics Unit at (602) 542-5984.

Sponsors must also complete the Civil Rights Self-Evaluation annually and maintain it on file. The Civil Rights Self-Evaluation is included in the application packet.

**Section 6.2: Complaint Procedure**

The Procedure for Complaints of Discrimination is included in the CACFP application packet. This procedure must be maintained on file and be made available to any person who wishes to make a complaint to the USDA.

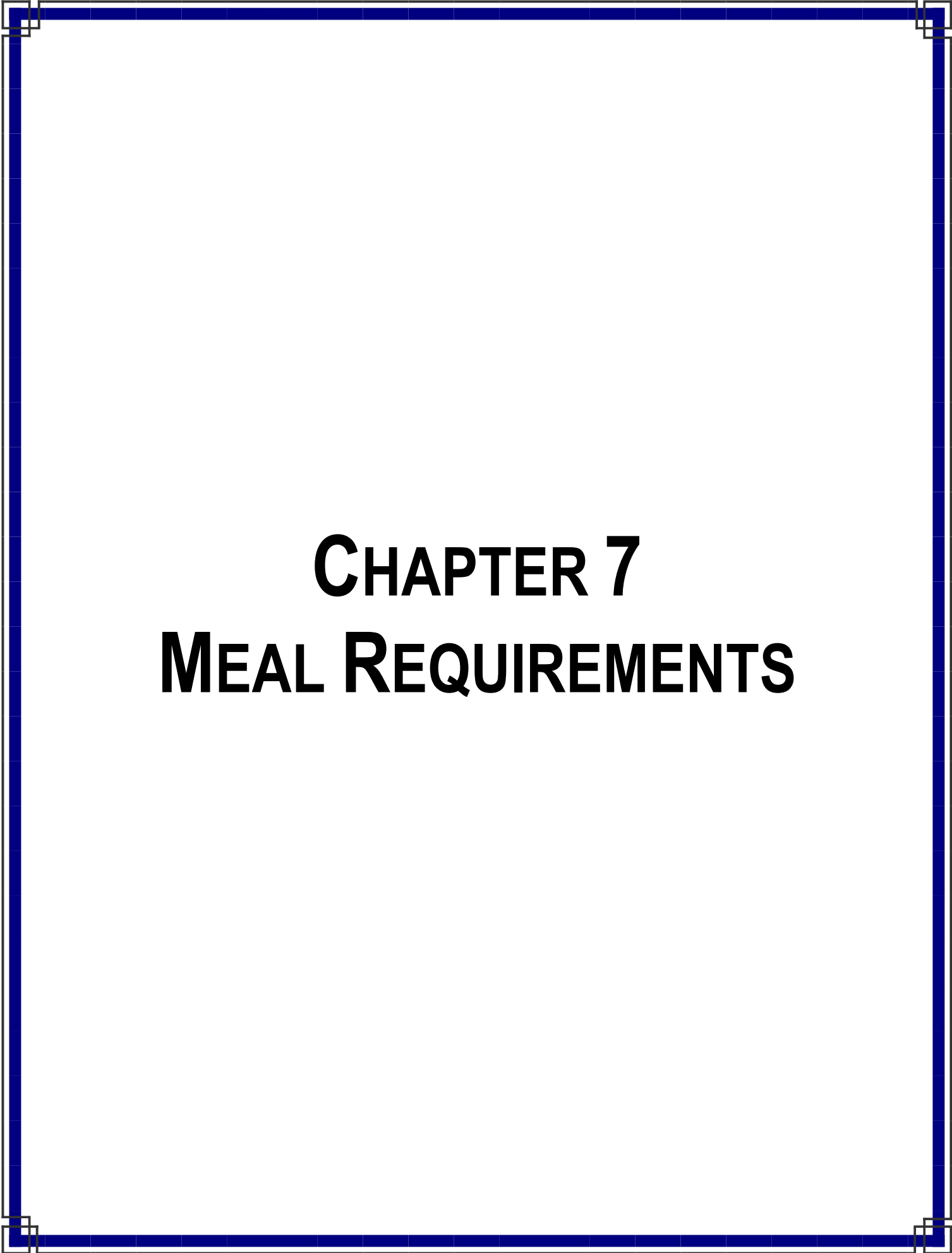
Individuals who would like to file a complaint of discrimination may also call the WRO civil rights hotline at 1-888-271-5983.

**Section 6.3: Other Requirements**

In addition to the information outlined in Sections 6.1 and 6.2, sponsors must also meet the following requirements:

- “...*And Justice For All*” poster – must be displayed in a prominent area of the facility visible to program recipients, their families, personnel, visitors and others. Each site that participates in the CACFP must have its own poster. Sponsors with multiple sites may request for additional copies by contacting the ADE/CNP Office. Suitable substitutes for outdoor use may be made if necessary.
- CACFP information/materials – must include the non-discrimination statement in languages appropriate to the local population. The non-discrimination statement must be printed using the same font and size as the text. Other CACFP materials in alternative means (such as, but not limited to, large print) of communication must be available. The non-discrimination statement is as follows:

“The USDA prohibits discrimination in all its programs and activities on the basis of race, color, national origin, sex, age, or disability.”



# **CHAPTER 7**

## **MEAL REQUIREMENTS**

**Section 7.1: Meal Pattern**

The requirements of the CACFP meal pattern were designed to assure the nutritional needs of children are met. The meal pattern specifies the types (components) and amounts (portion sizes) of food that must be offered to be eligible for reimbursement. Programs participating in the CACFP must serve meals to *all* enrolled participants. There are two meal patterns:

- I. Meal Pattern for Infants
  - 0 through 3 months
  - 4 through 7 months
  - 8 through 11 months
- II. Meal Pattern for Children
  - 1 through 2 years
  - 3 through 5 years
  - 6 through 12 years





MEAL PATTERN FOR CHILDREN		Age 1 through 2 years	Age 3 through 5 years	Age 6 through 12 years
<b>Breakfast</b>	Fluid Milk	½ cup	¾ cup	1 cup
	100% Fruit Juice or Fruit or Vegetable	¼ cup	½ cup	½ cup
	Grains/Breads	½ slice bread	½ slice	1 slice
		½ serving cornbread, roll, muffin or biscuit	½ serving	1 serving
		¼ cup cold dry cereal	1/3 cup	¾ cup
<b>Lunch/Supper</b>		¼ cup cooked cereal, pasta, noodles, cereal grains	¼ cup	½ cup
	Fluid Milk	½ cup	¾ cup	1 cup
	Fruit and/or Vegetable (from 2 or more sources)	¼ cup total	½ cup total	¾ cup total
	Grains/Breads	½ slice bread	½ slice	1 slice
		½ serving cornbread, roll, muffin, biscuit	½ serving	1 serving
<b>Snack (any 2 sources*)</b>		¼ cup cooked cereal, pasta, noodles, cereal grains	¼ cup	½ cup
	Meat/Meat Alternate	1 oz. meat, poultry, fish, cheese*	1 ½ oz.	2 oz.
		1 egg	1 egg	1 egg
		¼ cup cooked dry beans or peas*	3/8 cup	½ cup
		2 tbsp. peanut butter, other nut or seed butters*	3 tbsp.	4 tbsp.
		½ cup yogurt	¾ cup	1 cup
	Fluid Milk	½ cup	½ cup	1 cup
	100% Fruit Juice or Fruit or Vegetable	½ cup	½ cup	¾ cup
	Meat/Meat Alternate	½ oz. meat, poultry, fish, cheese*	½ oz.	1 oz.
		½ egg	½ egg	1 egg
		1/8 cup cooked dry beans or peas*	1/8 cup	¼ cup
		1 tbsp. Peanut butter, other nut or seed butters	1 tbsp.	2 tbsp.
		¼ cup yogurt	¼ cup	½ cup
	Grains/Breads	½ slice bread	½ slice	1 slice
		½ serving cornbread, roll, muffin, biscuit	½ serving	1 serving
		¼ cup cooked cereal, pasta, noodles, cereal grains	¼ cup	½ cup

\*Refer to the Food Buying Guide for additional requirements.

MEAL PATTERN FOR INFANTS	0 through 3 months	4 through 7 months	8 through 11 months
<b>Breakfast</b>	4-6 fl. oz. breast milk or iron-fortified infant formula*	4-8 fl. oz. breast milk or iron fortified infant formula	6-8 fl. oz. breast milk or iron fortified infant formula
		0-3 tbsp. Infant cereal (optional)	2-4 tbsp. infant cereal 1-4 tbsp. fruit and/or vegetable
<b>Lunch/Supper</b>	4-6 fl. oz. breast milk or iron fortified infant formula*	4-8 fl. oz. breast milk or iron fortified infant formula	6-8 fl. oz. breast milk or iron fortified infant formula
		0-3 tbsp. infant cereal (optional)	2-4 tbsp. infant cereal
		0-3 tbsp. fruit and/or vegetable (optional)	1-4 tbsp. meat, fish, poultry, egg yolk, cooked dry beans/peas, or ½ -2 oz. cheese, or 1-4 oz. cottage cheese, cheese food or cheese spread 1-4 tbsp. fruit and/or vegetable
<b>Snack</b>	4-6 fl. oz. breast milk or iron fortified infant formula*	4-6 fl. oz. breast milk or iron fortified infant formula*	2-4 fl. oz. breast milk or iron fortified infant formula or full-strength fruit juice
			0-1/2 slice bread or 0-2 crackers (optional)

\*Breast milk must be expressed to be reimbursable. Meals containing only formula provided by parents/guardians are not reimbursable. Refer to the Food Buying Guide for additional requirements.

**Section 7.2: Component Requirements**

The following requirements must be met in preparing a creditable meal. For further information on creditable and non-creditable food items, please refer to the *CACFP Creditable Foods and Buying Guide*. To obtain a copy of the buying guide, please contact the Child Nutrition Programs office.

**Meat/Meat Alternate**

- Must be served at lunch and/or supper and may be served as one of the two required components for snack
- May include but not limited to lean meat, fish, poultry, cheese, egg, yogurt, cooked dry beans/peas, peanut butter, other nut or seed butters
- Peanut butter meets only 50% of the required portion for lunch and or supper
- Dry beans or peas may count as a meat/meat alternate or vegetable/fruit requirement, but not both in the same meal
- Cannot contain binders or extenders
- Commercially prepared food products must be CN-labeled or a product analysis sheet must be obtained from the food manufacturer to determine the meat/meat alternate contribution toward the meal pattern
- Cottage cheese, cheese food or cheese spread must be served at twice the quantity as natural or processed cheeses

**Fruit/Vegetable**

- Breakfast must contain one serving of fruit/vegetable
- May be served as one of the two required components for snack
- Fruit juice must be 100% full strength
- Juice may not be served if milk is the only other component
- Lunch/supper must contain two servings of fruit and/or vegetable from two different sources
- Combination fruit or vegetable dishes count for one fruit/vegetable component
- Dry beans or peas may count as a vegetable/fruit requirement or meat/meat alternate, but not both in the same meal

**Grains/Breads**

- Must be served at breakfast, lunch and/or supper and may be served as one of the two required components for snack
- Must serve the customary function of bread in a meal; for lunch/supper, it must be served as an accompaniment to or a recognizable integral part of the main dish and not merely as an ingredient
- May include but not limited to rolls, muffins, cornbread, biscuits, cooked or cold dry cereal, pasta, noodle products, or cereal grains

**Grains/Bread (continued)**

- Bread alternates high in sugar and fat must be limited to two times a week and may only meet the grain requirement for breakfast or snack.
- Must be whole-grain or enriched

**Milk**

- Fluid milk must be served at breakfast, lunch/supper and may be served as one of the two required components for snack
- Fluid milk means pasteurized fluid unflavored or flavored skim milk, low fat milk, whole milk, or cultured buttermilk, all of which must meet State and local standards of such milk
- May be served as a beverage and/or poured over cereal
- Whole milk is not creditable when served to infants under one year of age.
- Whole milk is recommended for children over one year of age through two years of age
- If fruit juice is served for a snack, fluid milk may not be served as the only other component

**Section 7.3: Types of Meal Service**

Meals claimed under the CACFP must be consumed at the child care facility and may be served unitized or family-style. Meals shall be served unitized in Outside-School-Hours Centers and meals in Head Start Programs are served family-style as required by its own program guidelines.

**Unitized**

Under this method of meal service, meals are portioned or pre-plated to meet the minimum meal pattern requirement for each child. The minimum portion of each required food component must be served to the child all at one time. Sponsors who ration out small portions of each food component because of the possibility of spillage or food waste do not meet CACFP requirements and will result to disallowing the meal(s).

**Family-Style**

This method of meal service requires sufficient amounts of each food component is placed on the table to provide the required minimum portions for all the children at the table and to accommodate Program adults supervising the meal service if they eat with the children.

Participating supervising adults must assume an active responsibility in offering the child the full required minimum portion of each food component.

## Section 7.4: Requirements of Meal Service

### Allowable Meals

The following meals/snacks may be claimed for reimbursement:

Meals	Snacks
• Breakfast	• AM Snack
• Lunch	• PM Snack
• Supper	• Night Snack

Reimbursement is limited to two meals and one snack, two snacks and one meal, or three snacks, per child per day. Emergency shelters may claim three meals per child per day. Reimbursement for snacks served under the After School portion of the Program is limited to one snack per child per day.

### Meal Times

When planning meals, sponsors should keep in mind the food needs of children, their ages, time of their arrival and length of stay at the center.

Meals must be served within the customary meal times and within the claimable duration of food service. The CACFP defines customary meal time as the “normal” time when a meal is served. For example, breakfast should not be served at 10am. If children arrive at this hour, they should be served an AM snack.

Meals claimed for reimbursement should be served within the customary meal times not exceeding the claimable duration of food service allowed as indicated below:

Meal Type	Customary Meal Times	Claimable Duration of Food Service
Breakfast	6am-9am	1 ½ hours
AM Snack	Between B & L	1 hour
Lunch	11am-1pm	2 hours
PM Snack	Between L & S	1 hour
Supper	5pm-7pm	2 hours
Night Snack	After 7pm	1 hour

Meals should be scheduled far enough apart so the child has an appetite for the next meal. The CACFP requires a minimum of a two-hour span between the beginning of each meal. The following are examples of two-hour span between meals and claimable duration of food service:

Meal Type	Meal Times Example I	Meal Times Example II	Meal Times Example III
Breakfast	7-8:30am	8-9am	6-7:30am
AM Snack	9-10am	10-10:30am	9-9:30am
Lunch	11am-1pm	12-1pm	11am-12pm
PM Snack	2-3pm	2-2:30pm	1:30-2:30pm
Supper	5-7pm	5-6:30pm	5-6pm

### **Meal Counts**

The CACFP *requires* that meal counts be taken at point of service. Point of service may be conducted under any of the following guidelines:

- At the very beginning of the meal where children are seated around the table or as they come through a tray line
- During meal time where children are concurrently partaking of the meal
- Towards the end of the meal before the child gets up from and leaves the table



**Section 7.5: Types of Meal Preparation**

The type of meal preparation a sponsor chooses depends on their own operations, type of menu, availability of food service equipment, food preparation space, staffing, budget and other factors.

**On-Site Preparation**

Meals are prepared and served at the same site. This is the most economical method provided the facility has a full kitchen, proper food preparation equipment and available staff.

**Central Kitchen**

All meals are prepared at a central location and delivered to other sites that are under the same sponsoring organization. Proper food service equipment must be available to transport and maintain temperature levels for hot and cold foods as required by State and local health standards.

**Contract With a School Food Service Provider**

Food service system where a public or private nonprofit school provides meals that meet CACFP requirements to a child care facility. CACFP sponsors who contract with a school food service provider that participates in the National School Lunch Program or the National School Breakfast Program, may substitute the meal pattern requirements of those Programs for the meal pattern requirements of the CACFP.

A copy of the standard school food service provider contract is available upon request from ADE. A sponsor who enters into a written agreement or contract with a school food service provider does not relieve itself from the responsibilities of Program compliance. A copy of the signed contract must be submitted prior to Program operations and reimbursement of meals.

**Contract With a Food Service Vendor**

The sponsor enters into a written agreement or contract with the food service vendor to provide meals that meet CACFP requirements. A copy of the standard food service vendor contract is available upon request from ADE. Signing a contract with a food service vendor does not relieve the sponsor from the responsibilities of Program compliance. A copy of the signed contract must be submitted prior to Program operations and reimbursement of meals.

## Section 7.6: Requirements of Meal Preparation

### Menus

The CACFP requires that menus posted at child care facilities must indicate the required components that meet the meal pattern requirements. To assist with meal planning, menus must be planned at least one week in advance. Consider the following when planning menus:

- Costs – Purchase fresh fruits/vegetables that are in season. Fresh produce tends to be more expensive if bought when not in abundance.
- Variety – Prepare a food item in different ways. Instead of serving mashed potatoes, try preparing scalloped or oven-baked potatoes. Serve foods with a variety of color, texture, flavor and temperature.
- Dietary Guidelines - Following the guidelines will assist in planning healthier meals.
- Staff – Take into account the employee who prepares the meals, their experience and skill in planning and preparing meals.
- Time – Keep menus simple. Use recipes that require the least preparation time.

A cycle menu is a series of menus that are used repeatedly over a designated period of time. The CACFP requires a four-week cycle at the minimum. Cycle menus must be coded or numbered to correspond with production worksheets (i.e., Week 1, Monday may be coded as W1-M). The code or number must be recorded on the daily meal count sheet to track what cycle was used each day.

Changes that may be due to seasonal changes or food substitutions must be noted on the menu or cycle menu and the appropriate calculation adjustments must also be made on the corresponding production worksheet.

For further information on menu planning please refer to the *CACFP Creditable Foods and Buying Guide*. To obtain a copy of the buying guide, please contact the Child Nutrition Programs office.

### Production Worksheets

Production worksheets may be used to ensure that sufficient amounts of food were prepared for the number of children claimed and adults served. Production worksheets should be completed in advance, prior to meal preparation and used as a tool to:

- Plan for the amount of food needed
- Be used as a food purchase list
- Record actual amounts of food used

New sponsors are required to maintain production worksheets for every meal claimed for CACFP reimbursement. Production records must be maintained until a CACFP Specialist determines that the meals served are sufficiently meeting CACFP meal pattern requirements. After such determination, production records may be maintained on a voluntary basis. If at any time ADE, or a representative thereof, determines that there is not adequate documentation to support fulfillment of the meal pattern requirements, production records will again be required for all meals.

Blank production worksheets and instructions for completing them are included in the *CACFP Creditable Foods and Buying Guide*. To obtain a copy of the buying guide, please contact the Child Nutrition Programs office.

### **Infant Feeding Record**

Meals served to infants must be recorded on the infant feeding record. Indicate the actual amount of formula and/or food given to the infant. Only iron-fortified infant formula and cereal meet CACFP requirements. The infant feed record is included in the *CACFP Creditable Foods and Buying Guide*. To obtain a copy of the buying guide, please contact the Child Nutrition Programs office.

Parents may provide breast milk or iron-fortified formula for their baby while in care. Meals containing only breast milk are eligible for reimbursement provided that the breast milk has been expressed. Meals containing only formula provided by the parent do not qualify for reimbursement. However, meals may be claimed for reimbursement when the parent provides the formula and the caregiver provides the other components.

**Section 7.7: Food Substitutions/Modifications**

Meals served to children/infants and claimed for reimbursement must meet the meal pattern requirements. Food substitutions or modifications may be made if a child or infant is unable to consume foods as listed in the meal pattern due to medical reasons or other special dietary needs. Meals containing substitutions because of medical or special dietary needs may be claimed only when supported by a statement from a recognized medical authority. It must include a list of recommended food substitutes or alternate foods and the food or foods to be omitted from the child's diet. A recognized medical authority may include but is not limited to a medical physician, registered nurse or registered dietitian. Medical statements for food substitution(s) must be maintained on file at the site.

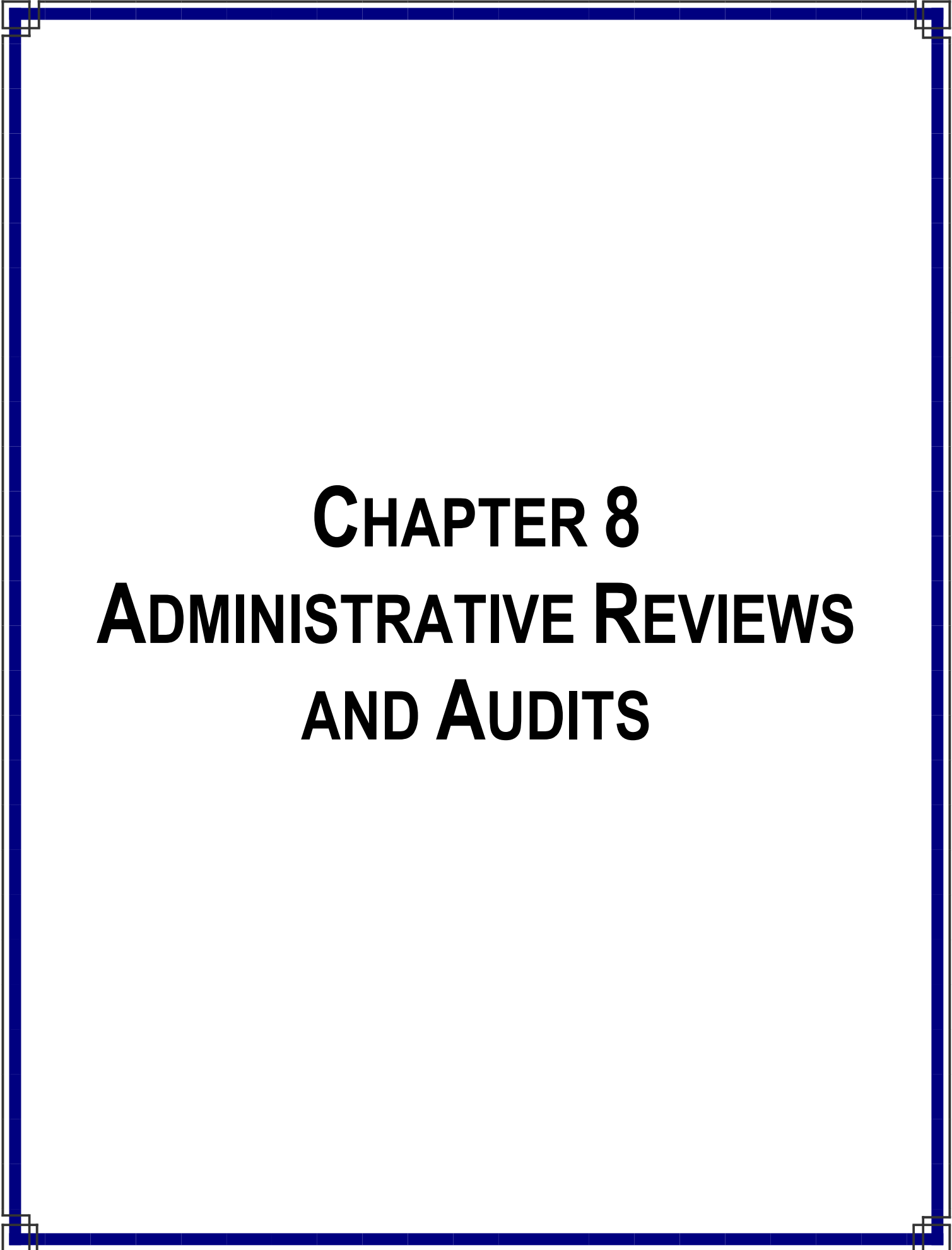
Generally, children with food allergies or intolerances do not have a disability as defined under 7 CFR 15b.3 of the USDA's nondiscrimination regulations. Sponsors are *strongly* encouraged but not required to make substitutions for them. However, when food allergies may result in severe, life-threatening (anaphylactic) reactions, the child's condition does meet the definition of *disability*, and the substitutions *must* be made.

Food substitutions due to religion or personal preferences may be made provided the food substitution(s) meet the meal pattern requirements (i.e., component and portion size). Substitutions must be documented and maintained on file. If substitutions do not meet the meal pattern, that meal cannot be claimed for reimbursement.

**Section 7.8: Convenience Foods**

Processed foods, commercial products or convenience foods such as breaded meat products, frozen pizza or other combination foods that are served to meet more than one component must have a CN-label. The CN-label contains a statement that clearly identifies the contribution the product makes toward the meal pattern requirements. A product analysis sheet signed by the food manufacturer must be obtained if the convenience food does not have a CN-label. The product analysis sheet must state the amount it contributes toward the meal pattern requirements. All documentation regarding convenience foods must be maintained on file. If no information is available at the time of an audit or review, meals containing the convenience food(s) may be disallowed.

For further information on documenting convenience foods, please refer to the *CACFP Creditable Foods and Buying Guide*. To obtain a copy of the buying guide, please contact the Child Nutrition Programs office.



# **CHAPTER 8**

## **ADMINISTRATIVE REVIEWS AND AUDITS**

**Section 8.1: Frequency****TECHNICAL ASSISTANCE VISITS**

ADE strives to visit all new sponsors within the first ninety (90) days of participation in the CACFP. A CACFP Specialist will review Program records and recordkeeping procedures and provide technical assistance as needed. Pre-approval visits allow the Specialist to identify any potential problems that may arise and provides the opportunity to assist in correcting them.

**REVIEWS**

Sponsors of the CACFP are subject to administrative reviews conducted by ADE/CNP staff, by duly authorized Program consultants or by USDA staff. Sponsors are notified two to four weeks ahead of time prior to the review date. The ADE/CNP reserves the right to conduct unannounced reviews. Federal regulations do not require advance notification.

Administrative reviews are conducted:

- Every three years at a minimum.
- Within the first ninety (90) days during the first year of participation. This applies to sponsors who have five or more sites.
- At least once a year until deficiencies are corrected. This applies to sponsors found to be seriously deficient at the first review.

The scope of review involves records for the current fiscal year.

**AUDITS**

Audits shall be conducted in accordance with Circulars A-128 and A-110 of the Office of Management and Budget and the Uniform Federal Assistance Regulations (7 CFR part 3015) of the USDA. Audits are conducted by ADE/CNP staff or duly authorized Program consultants. Sponsors are notified prior to the audit date. The ADE/CNP reserves the right to conduct unannounced audits. Federal regulations do not require advance notification.

Administrative audits are conducted based on the total federal assistance expended.

Audits encompass the current fiscal year and/or a closed fiscal year. An audit may be conducted during a current fiscal year; however, the scope of audit may involve records from a prior fiscal year.

**AGREED UPON PROCEDURES ENGAGEMENTS**

Because audits are based on Program reimbursement, not all sponsors will meet the financial threshold for audit requirements. Such sponsors may undergo an Agreed Upon Procedure Engagement instead. An Agreed Upon Procedures Engagement is similar in scope to an audit and will focus on many of the same areas.

**Section 8.2: Program Compliance/Verification**

As part of the CACFP review or audit, all records to support any claims filed for reimbursement must be made available, authorizing ADE/CNP staff and duly authorized consultants access to examine and copy such records and inspect facilities during normal business hours.

Fiscal action may be taken for violations found under the following areas:

- Classification of children under free, reduced or paid categories.
- Sign-in/sign-out, enrollment, attendance records.
- Title XX assist billing forms (applicable to for-profit sponsors).
- Meal count records and point-of-service meal count system.
- Menus and production worksheets.
- Reimbursement claim forms.
- Administrative and operating labor costs and purchased services.
- Costs for food and supplies.
- Income to the program (adult meals in excess of the 5:1 ratio/donated food).
- Free and reduced price eligibility process.

Corrective action may be required for violations found under the following areas in addition to areas stated above:

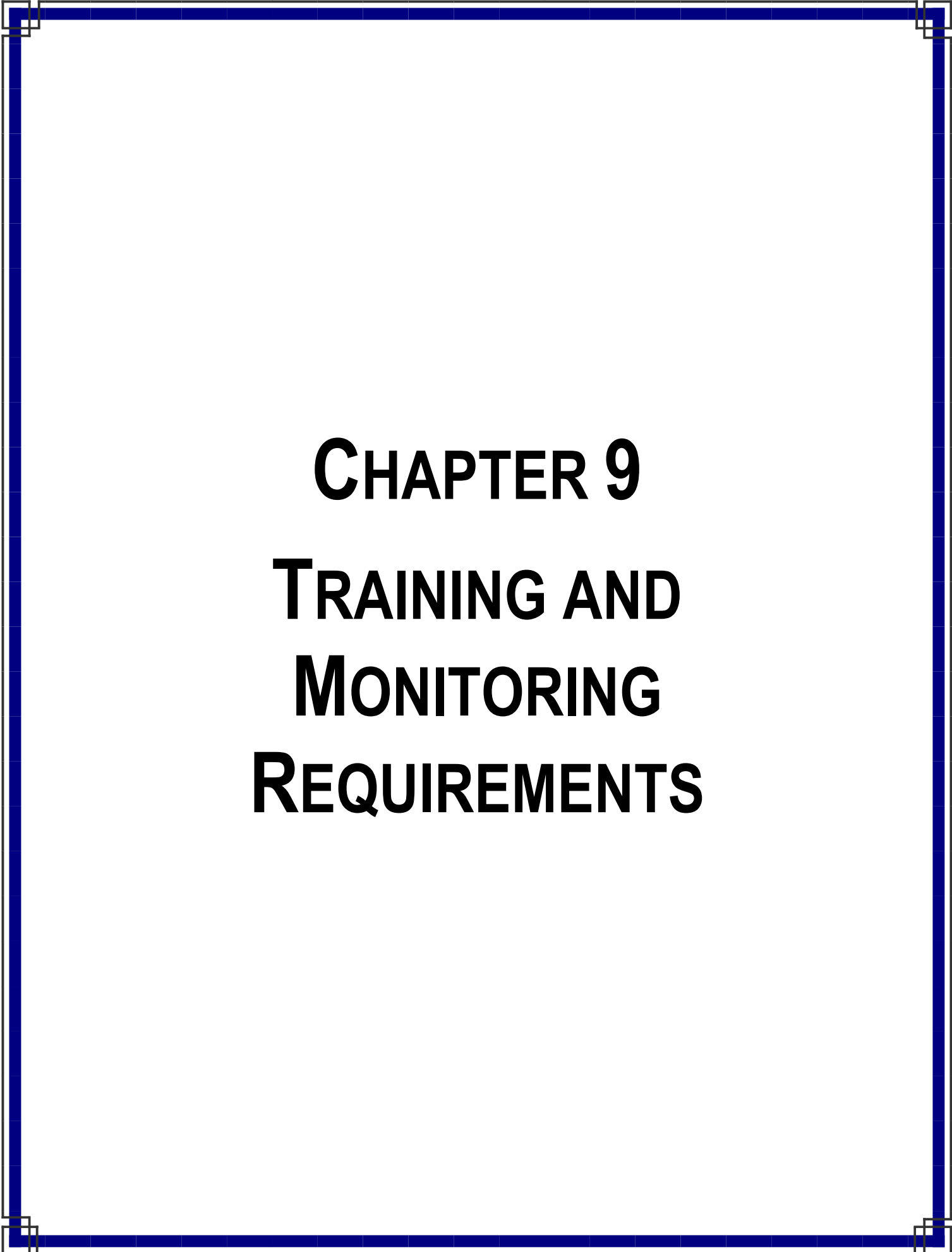
- Required recordkeeping
- Civil rights compliance.
- Training and monitoring responsibilities
- Current license, health/safety inspections, sanitation permits.
- Current Food Service Agreement.
- Procurement/purchasing standards.
- Tax-exempt status (non-profit status).

Conditions by which a sponsor will be considered seriously deficient may include, but not limited to the following:

- Noncompliance with applicable bid procedures and contract requirements.
- Submission of false information to the ADE/CNP.
- Failure to maintain Program records.
- Claiming meals not served to children.
- Serving meals that do not contain required components or amounts.
- Continued use of food service providers/vendors who are in violation of health codes.

Sponsors determined to be seriously deficient who do not satisfactorily implement or maintain corrective action shall be terminated from CACFP. For more information on serious deficiencies, please refer to Chapter 12. Findings affecting participation or claims for reimbursement may be appealed by following the CACFP Appeal Procedure included in the CACFP application packet.





# **CHAPTER 9**

## **TRAINING AND MONITORING REQUIREMENTS**

### Section 9.1: Training and Monitoring for Sponsors with Multiple Sites

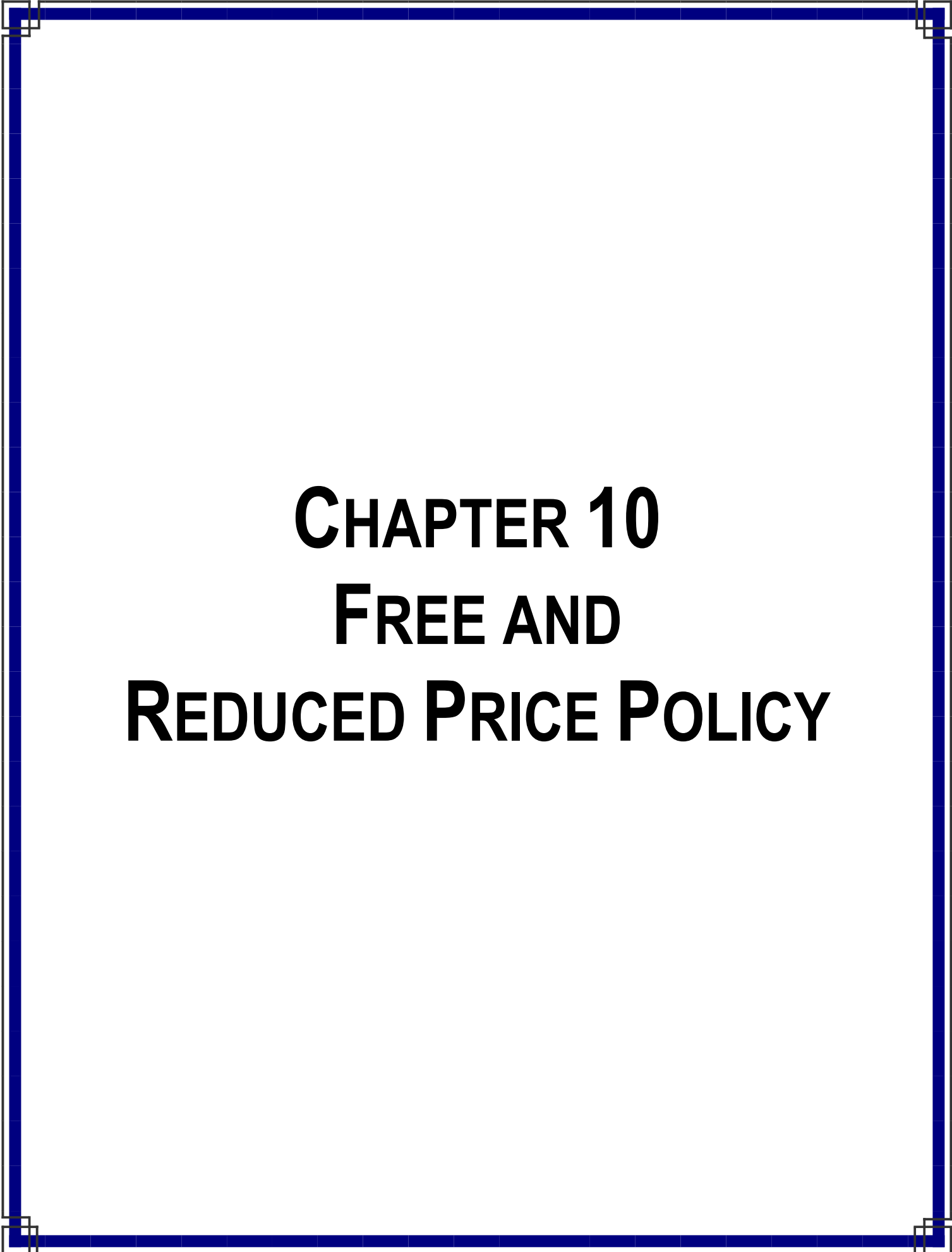
Federal regulations require the ADE/CNP to provide training and technical assistance to CACFP sponsors to facilitate effective Program operations, monitor progress toward achieving Program goals, and ensure compliance with Civil Rights requirements. The CACFP requires that sponsors with multiple sites provide adequate training for personnel who are involved in Program operations and to monitor Program operations.

The ADE/CNP provides monthly workshops for new sponsors for sponsors who require additional training or more information in Program administration and operation. New sponsors are required to attend all four tracks of the CACFP training workshop before their application will be processed. The CACFP encourages existing sponsors to extend training opportunities to their staff who are responsible for Program operations. The workshops cover the application process, recordkeeping requirements, and menu planning for the CACFP. Information on CACFP workshop schedules may be obtained by calling the ADE/CNP Office or checking the CACFP website.

Sponsoring organizations with multiple sites are required to annually conduct the following:

- **Annual training** – This training must be conducted every year for all personnel responsible for Program operations. Documentation of the date, location, and topics covered, as well as the attendance roster of the staff training must be maintained. Topics covered in the annual training must be related to CACFP administration or operation, food safety and sanitation, or nutrition. The workshops made available by the ADE/CNP may not be used to meet the annual training requirement.
- **Preoperational visit** – For sponsors with more than one site, pre-approval visits must be conducted on sites for which a new application is made. Program information, Program benefits, and verification that the proposed food service does not exceed the capability of the child care facility must be discussed during such visit. Documentation must be maintained on file at the site. A copy of the *Preoperation Visit Form for Sponsoring Organizations* is included in the CACFP application materials.
- **Monitoring visits** – Site visits must be conducted to assess compliance with the meal patterns, recordkeeping and other Program requirements. At least three (3) reviews must be conducted every year at each child care center, provided one review is made during the first week of Program operations and not more than six months elapse between reviews. Outside-school-hours centers are required to have six (6) reviews each year for every out-side-school-hours-center, provided one review is made during each center's first week of Program operation and not more than three months elapse between reviews. A copy of the *Site Review Form* is included in the CACFP application materials.

All staff involved with the CACFP must be trained in procedures and requirements of the Program prior to the beginning of Program operation and administration.



# **CHAPTER 10**

## **FREE AND REDUCED PRICE POLICY**

**Section 10.1: Non-Pricing Policy**

Federal regulations require sponsors who administer the CACFP to submit a free and reduced-price policy statement to serve meals to enrolled children at no separate charge at the time a Program application is submitted. Sponsors cannot participate in the CACFP until ADE has approved the free and reduced-price meals policy statement.

Sponsors who elect to serve meals at no separate charge shall develop a policy statement that includes an assurance to ADE that all participants are served the same meals at no separate charge regardless of race, color, national origin, sex, age, or disability. For convenience, ADE/CNP has developed a non-pricing policy that, once signed by the sponsor will fulfill the aforementioned requirement. The *Free and Reduce-price Policy Statement* is included in the CACFP application packet.

ADE reserves the right to review all approved free and reduced-price meals applications and verify information provided on the approved income application for free and reduced-price meals during Program reviews and audits. ADE shall inform the sponsor of the results of the verification effort and the action that will be taken in response to the verification findings.

**Section 10.2: Pricing Policy**

Sponsors who charge separately for meals shall develop a policy statement for determining eligibility for free and reduced-price meals. Reimbursement will be made only for meals served to children who qualify for such meals. The policy statement shall include the following:

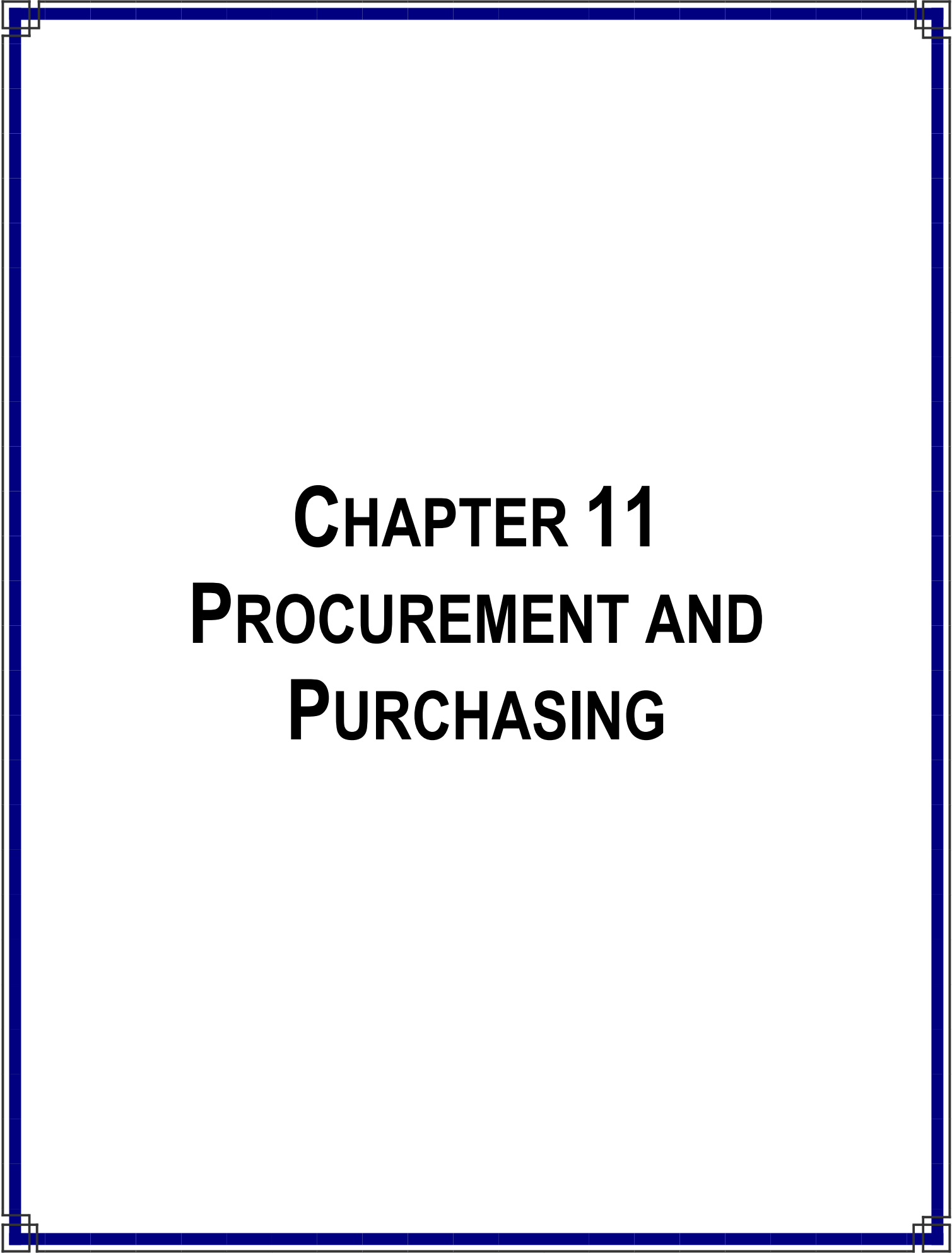
- Process of determining eligibility for free and reduced-priced meals.
- Description of the method(s) to be used in accepting income applications from families for free and reduced-price meals.
- Description of the method(s) to be used to collect payments from participants paying full price for meals and methods(s) of maintaining the confidentiality of participants receiving free or reduced priced meals.
- Establish a hearing procedure for use when benefits for free and reduced-price meals are denied or terminated
- Assurance that confidentiality will be maintained for participants receiving free and reduced-price meals and there will be no discrimination against any participant on the basis of race, color, national origin, sex, age, or disability.
- Assurance charges for reduced-price lunch/supper will not exceed 40 cents, reduced-price breakfast will not exceed 30 cents, and reduced-price supplement will not exceed 15 cents.
- Submit a public release to the media serving the area from which the center draws its attendance. The public release shall include the nondiscrimination statement and the availability of the free and reduced-price meals to children meeting the approved eligibility criteria.
- Notify households or guardians of enrolled participants in writing of the eligibility and application procedures, income standards, and the household's responsibility to notify the sponsor of any loss of income, increase or decrease of income over \$50 per month or \$600 per year. Notification must also include the nondiscrimination statement.

ADE reserves the right to conduct verification of eligibility for free and reduced-price meals and verify information provided on the approved income application for free and reduced-price meals on an annual basis. ADE shall inform the sponsor of the results of the verification effort and the action that will be taken in response to the verification findings.

**Section 10.3: Public Release**

Sponsors are required to submit a public release to a local media in the area(s) where the CACFP will be administered at the time an initial application is made to participate in the Program. The public release must include the nondiscrimination statement. For convenience, ADE/CNP has developed a public release which is provided in the CACFP application packet.

The ADE/CNP assumes responsibility to submit a public release annually for sponsors who renew their application to participate in the CACFP. The public release notifies the media of all the sponsors' intent to administer and operate the Program without discrimination on the basis of race, color, national origin, sex, age, or disability.



# **CHAPTER 11**

## **PROCUREMENT AND PURCHASING**

**Section 11.1: Requirements**

Sponsors participating in the CACFP must comply with the provisions of existing federal, state and local procurement requirements. All procurement transactions, regardless of the method used, shall be conducted in a manner that provides maximum open and free competition. Procurement procedures shall not restrict or eliminate competition. Examples of restrictive competition include, but not limited to:

- Placing unreasonable requirements in order for them to qualify to do business.
- Noncompetitive practices between firms.
- Organizational conflicts of interest.
- Unnecessary experience and bonding requirements.

Sponsors shall maintain the Purchasing and Procurement Standards which shall govern and state that no officers, employees or agents involved in all contractual and administrative issues supported by Program payments shall participate in the award or administration of a contract supported by Federal funds if a conflict of interest would be involved. A conflict of interest would arise when an employee, officer or agent, any immediate family member, partner, or organization which employs, or is about to employ any of the above, has a financial or other interest in the firm selected for the award. No officer, employee, or agent shall either solicit or accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to sub-agreements. Violation of standards shall provide for penalties, sanctions, or other disciplinary action.



**Section 11.2: Procurement Thresholds**

- For purchases less than \$5,000 – bidding is not essential, but sponsors should utilize procedures that provide adequate and reasonable competition.
- For purchases between \$5,000 and \$14,999.99 – solicit at least three verbal quotes.
- For purchases between \$15,000 and \$31,338.70 – solicit at least three written quotes.
- For purchases \$31,388.71 and over – solicit sealed bids or proposals through a competitive process (RFP, IFB – refer to Section 11.3 for more information on these processes).

**Section 11.3: Procurement Methods**

The CACFP requires sponsors to maintain documentation of any method of procurement. Documentation shall include but not limited to: the rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the cost or price. Procurement in the CACFP may be made by one of the following methods:

- Small purchase procedures – Simple and informal method of procurement wherein sound and appropriate procurement of services, supplies and other property with an aggregate cost no more than \$31,338.70. Price or rate quotation shall be obtained from an adequate number of qualified sources.
- Competitive sealed bids – Formal advertising wherein sealed bids publicly solicited and a firm-fixed-price contract (lump sum or unit price) is awarded to the bidder who conformed with all material terms and conditions of the Invitation For Bid (IFB) and is lowest in price. If using formal advertising for procurement, requirements/conditions must include the following at a minimum:
  - A complete, adequate and realistic specification or purchase description clearly defines the items or services needed for bidders to respond appropriately to the IFB.
  - Selection can be made principally on the basis of the lowest price.
  - Two or more bidders are willing and able to compete effectively for the contract.
  - All bids shall be publicly advertised and solicited from an adequate number of known suppliers.
  - All bids shall be opened publicly at the time and place stated in the IFB.
  - The firm-fixed-price contract shall be awarded to the lowest bidder who conformed to the IFB by written notice.
  - Any or all bids may be rejected when there are sound documented business reasons in the best interest of the Program.
- Competitive negotiation – Proposals are requested from a number of sources wherein negotiations are conducted with more than one of the sources submitting offers. A Request for Proposal (RFP) is publicized and a fixed-price or cost-reimbursable type contract is awarded, as appropriate. If using competitive negotiation, the following requirements shall apply:
  - Proposals shall be solicited from an adequate number of qualified sources to permit reasonable competition and requests to compete by other sources shall be honored to the maximum extent practicable.
  - The RFP shall be publicized and shall identify significant evaluation factors, including price and cost and relative importance.
  - Provide procedures for evaluating proposals, for determining and selecting the most advantageous proposal.
  - Notify unsuccessful offerors promptly.

- Noncompetitive negotiation – Procurement through solicitation from only one source or after solicitation from a number of sources and competition is determined inadequate. A contract may be awarded by noncompetitive negotiation when circumstances are limited to the following:
  - The item is available only from one single source.
  - When the urgency of the need will not permit delay as a result to competitive solicitation.
  - When FNS authorizes noncompetitive negotiation.
  - Competition is determined inadequate after solicitation from a number of sources.



# **CHAPTER 12**

## **DENIAL AND TERMINATION**

**Section 12.1: Serious Deficiency**

As stated in 7 CFR 226.6(c), serious deficiencies are grounds for disapproval of application and for terminating participation. Serious deficiencies include, but are not limited to any of the following:

- Submission of false information to the SA.
- Failure to return any advance payments.
- Failure to maintain Program records to support claims for reimbursement.
- Claiming reimbursement for meals not served to enrolled children.
- Serving meals that do not meet Program requirements.
- Failure to comply with applicable bid procedures and contract requirements for food purchases and food service.
- Continued use of food service providers/vendors that are in violation of health codes.
- Failure of a sponsoring organization to disburse payments to its facilities in accordance with the application information.
- History of administrative or financial mismanagement of any Federal child nutrition program.
- Claiming for meals served in a proprietary Title XX center during any calendar month in which less than 25 percent of enrolled children or license capacity were Title XX recipients.
- Failure to comply with Program requirements.
- Inclusion on the USDA national disqualified list.

A sponsor may request for an appeal hearing using the procedures included in the CACFP application packet, if participation was terminated or an application to participate was denied.

**Section 12.2: Application Denial or Termination of Participation**

Federal regulations [7 CFR 226.6(c)] give the SA the responsibility to terminate any child care institution that has been determined to be seriously deficient in the operation of the CACFP. However, before the SA can terminate an institution, it must give the institution every reasonable opportunity to correct its deficiencies. In the event that an institution is determined to be seriously deficient in its operation of the CACFP, the SA will provide the institution complete notice, which will include all of the following:

- Identification of the problems that have led to the determination of serious deficiency;
- Steps that the institution must take in order to correct the problems;
- Timeline in which the institution must correct the problems;
- Consequences if the problems are not corrected within the specified timeline.

ADE/CNP shall terminate the Program agreement with any sponsor that does not correct serious deficiencies to the satisfaction of ADE. CNP shall notify FNS whenever a sponsor has been terminated due to uncorrected serious deficiencies. Once a sponsor has been terminated due to uncorrected serious deficiencies, that sponsor is placed on a national disqualified list. That sponsor will be ineligible to participate in any Federal child nutrition program until they can demonstrate to FNS that the deficiencies have been permanently corrected. In addition, any institution that has been deemed seriously deficient in the operation of any Federal child nutrition program and is in the process of correcting deficiencies will be prohibited from participating in the CACFP until the deficiencies have been corrected.

Any facility or individual that is identifiable with a seriously deficient facility through its corporate organization, officers, employees, or otherwise, shall also be considered to be ineligible unless it is demonstrated that good cause exists for considering the facility distinct from the seriously deficient facility to the satisfaction of ADE with the concurrence of FNS. Any sponsor that disagrees with their termination will have the right to request an appeal hearing, as set forth in the appeal procedures included in the CACFP application packet.

**Section 12.3: Termination by the Sponsoring Organization**

ADE/CNP requires a sponsor who wishes to terminate its participation from the CACFP to submit 30 days advance written notice of its intent to terminate participation including the date of termination. The SO may terminate its participation for any, but not limited to the following reasons:

- Sale of the center
- Bankruptcy
- Revocation of license
- Unable to meet proprietary Title XX center requirements after three consecutive months

A sponsor that voluntarily chooses to terminate their CACFP agreement may reapply to participate at any time by following the new CACFP application procedures.

**Section 12.4: Appeal Procedures**

A sponsor may appeal any action(s) taken by ADE that affect its payment from or participation in the CACFP. Sponsors may appeal findings resulting from Program audits and/or reviews under one or more of the following conditions:

- Denial of application to participate.
- Termination of participation.
- Suspension of Program agreement.
- Denial of advance payments, or start-up funds for day care homes.
- Denial of all or part of a reimbursement.
- Demand for the remittance of an overpayment.
- Denial of a request for an upward adjustment to a claim.
- Denial by the SA to forward FNS an exception request by the sponsor for payment of a late claim.

To request an appeal, follow the appeal procedures provided in the CACFP application packet.



## APPEAL PROCEDURES

Child and Adult Care Food Program sponsors may appeal audits and/or reviews under one or more of the following conditions:

1. Your participation in the Child and Adult Care Food Program has been terminated.
2. Your participation has been denied.
3. An adjustment for reimbursement or an overpayment has resulted.
4. Denial of advance payments. Denial of start-up funds.

If you appeal, follow the procedures below:

1. A written request for an appeal must be received by the Department of Education no later than fifteen (15) calendar days after receipt of the audit or review report. Requests should be sent to the attention of Mr. Ralph Romero, Child Nutrition Appeal Official, Arizona Department of Education, 1535 West Jefferson, Phoenix, AZ 85007. The State shall acknowledge the receipt of the request for appeal within ten (10) calendar days.
2. You may refute the charges contained in the report in person and by written documentation.
3. Written documentation refuting the charges must be filed with the appeal official no later than thirty (30) calendar days after you receive the report.
4. You may retain legal counsel or be represented by another person.
5. A hearing will be held by the appeal official if you request it when requesting the appeal (failure of your representative to appear at a scheduled hearing will constitute your waiver of the right to a personal appearance with the appeal official, unless the appeal official agrees to reschedule the hearing).
6. Any information on which the audit or review action was based is available for your review.
7. The appeal official shall make a determination based on information provided by the Child Nutrition Programs Unit, Arizona Department of Education, and by you in accordance with the program regulations. The determination by the appeal official is the final administrative determination available to you.
8. You will be notified of the determination within sixty (60) calendar days of the Arizona Department of Education's receipt of the request for an appeal.
9. The action suggested by the audit or review report will remain in effect during the appeal process.

## CIVIL RIGHTS SELF-EVALUATION

Sponsor/Site \_\_\_\_\_

Date \_\_\_\_\_

Complete the following questions and maintain in your files:

	YES	NO	N/A
1. Does the enrollment data generally reflect the racial/ethnic composition of the area(s)? If you answered "no" please explain.  _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the Civil Rights poster with the nondiscrimination clause displayed at each site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the current Food Service Agreement on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are bilingual income applications available for parents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are income applications kept confidential?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Has a procedure been established to process Civil Rights complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Have any lawsuits, complaints, allegations or cases involving Civil Rights been decided against the sponsor with the past two years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. If appropriate, have special efforts been made to explain the availability of the program to minorities, underprivileged or limited English speaking persons?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Are the physical facilities and equipment at the site(s) available to all children on an equitable basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Does the participation data reflect the racial/ethnic composition of the enrollment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Are bilingual CACFP materials available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Does the nondiscrimination statement appear in all publicity and advertising which mentions the CACFP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Are there program requirements that children, or their parents, belong to a church, fraternal organization, or other group which is not open to all minorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Do the procedures for waiting lists for admission discriminate by race, color, national origin, sex, handicap or age?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Signature of Sponsor Representative Completing this Form

Date

## PROCEDURE FOR COMPLAINTS OF DISCRIMINATION

The Sponsor shall accept all complaints of discrimination either written or verbal, relating to the Child and Adult Care Food Program that are filed within 180 days of the alleged discrimination. Records shall be kept of all complaints sent to the Secretary of Agriculture.

The complainant shall be advised to send the complaint to: Ms. Lynne Dulin, Director, Student Services; State Department of Education; 1535 West Jefferson Avenue, Phoenix, Arizona 85007 or Mr. Anthony Copeland, Director, Office of Civil Rights; USDA Food and Nutrition Services, Western Region; 550 Kearney Street, Room 400, San Francisco, California 94108. The sponsor shall handle anonymous complaints in the same manner as other complaints and forward such complaints to the Secretary of Agriculture.

**Complaints of discrimination should contain the following information:**

1. Name, address and telephone or any other means to contact complainant.
2. The specific location and name of the entity delivering benefits.
3. Nature of the incident or action that led the complainant to feel that discrimination was a factor, or an example of the method of administration which is having a disparate effect on the public, potential participants, or participants.
4. Basis on which the complainant feels that discrimination occurred (race, color, national origin, sex, age, or handicap).
5. Names and titles, if known, addresses of person who may have knowledge of the discriminatory action.
6. The date(s) the alleged discriminatory actions occurred or the duration of such action.

**STAFF TRAINING**

---

**CENTER NAME**

---

**CTD NUMBER****GENERAL TOPICS DISCUSSED**

---

Sign In/Sign Out Sheets

---

Meal Counts/Procedure

---

Meal Pattern

---

Production Worksheets

---

Other 

---

DATE: 

---

STARTING TIME: 

---

 ENDING TIME: 

---

PLACE: 

---

TRAINER(S): 

---

---

NUMBER OF PEOPLE ATTENDING: 

---

OTHER SUBJECT AREAS COVERED:

COMMENTS:

To be completed for all food service training programs and meetings in which all or part of presentation was made by food service staff.

## ATTENDANCE ROSTER

### STAFF TRAINING

[illegible]

## SITE REVIEW FORM

Date of Site Visit/Review: \_\_\_\_\_

Name of Site: \_\_\_\_\_

Site Address: \_\_\_\_\_

	YES	NO
1. Is the license or safety/sanitation inspection current? Expiration Date: _____ Approved Capacity: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the Civil Rights poster displayed in a prominent area?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the procedure of filing discrimination complaints readily available?	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the Civil Rights Self-Evaluation completed and maintained on file?	<input type="checkbox"/>	<input type="checkbox"/>
5. Is the ethnic population statistics breakdown on file?	<input type="checkbox"/>	<input type="checkbox"/>
6. Was the meal observed served at the designated time? Circle the meal type observed: <b>B</b> <b>AM</b> <b>L</b> <b>PM</b> <b>S</b> <b>Night</b>	<input type="checkbox"/>	<input type="checkbox"/>
7. Did the children/adults wash their hands before eating?	<input type="checkbox"/>	<input type="checkbox"/>
8. Were meal counts taken at point of service?	<input type="checkbox"/>	<input type="checkbox"/>
9. Were the meal observed contain all the required components? List all foods served: _____ _____ _____	<input type="checkbox"/>	<input type="checkbox"/>
10. Did the portion sizes meet the meal pattern requirement for the different age groups served?	<input type="checkbox"/>	<input type="checkbox"/>
11. Was a production worksheet used to prepare the meal observed?	<input type="checkbox"/>	<input type="checkbox"/>
12. Are hot foods kept hot and cold foods kept cold?	<input type="checkbox"/>	<input type="checkbox"/>
13. Did the number of meals observed the same number of meals recorded for children and adults?	<input type="checkbox"/>	<input type="checkbox"/>
14. Was there significant plate-waste?	<input type="checkbox"/>	<input type="checkbox"/>
15. Did the ratio exceed one program adult to five children?	<input type="checkbox"/>	<input type="checkbox"/>
16. Are attendance records used to record meal counts?	<input type="checkbox"/>	<input type="checkbox"/>
17. Is the site authorized to claim more than the 2 meals and 1 snack or 2 snacks and 1 meal?	<input type="checkbox"/>	<input type="checkbox"/>

18. If yes, is the Weekly Attendance Meal Record utilized? ☐ ☐
19. Is the kitchen/food service area kept clean at all times? ☐ ☐
20. Is there evidence of insect/rodent infestation? ☐ ☐
21. Are all cleaning compounds, insecticides and other chemicals stored away from food and out of children's reach? ☐ ☐
22. Is a sink with running hot and cold water available? ☐ ☐
23. Are menus planned in advance and maintained on file? ☐ ☐
24. Do menus contain all the required components for each meal/snack? ☐ ☐
25. Are production worksheets complete for all meals claimed and maintained on file? ☐ ☐
26. Are costs of food, supplies and labor maintained on file for each month? ☐ ☐
27. Is the license capacity exceeded at any one time? ☐ ☐
28. Have site personnel attended an annual training conducted by the sponsor? ☐ ☐
29. If yes, is documentation on file? ☐ ☐

30. List problem areas noted from the most recent prior review and date of review conducted:

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31. Are the same problems still evident? ☐ ☐
32. Have the problems been corrected? ☐ ☐

33. If applicable, indicate corrective action required for all questions marked NO:

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34. Corrective action follow-up date: \_\_\_\_\_

Signature and Title of Monitor/Reviewer: \_\_\_\_\_ Date: \_\_\_\_\_

Signature and Title of Site Staff: \_\_\_\_\_ Date: \_\_\_\_\_

**PRE-OPERATION VISIT FORM FOR SPONSORING ORGANIZATIONS**

1. Name of Site: \_\_\_\_\_

Site Address: \_\_\_\_\_

\_\_\_\_\_

Telephone Number: \_\_\_\_\_

2. License Capacity: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

Total number of children enrolled: \_\_\_\_\_

3. Average Number of Meals Served: \_\_\_\_\_

Time of Meal Services:

Breakfast	AM Snack	Lunch	PM Snack	Supper	Night Snack

4. What food preparation and service equipment is available?

\_\_\_\_\_

\_\_\_\_\_

Is this adequate to prepare and serve the necessary meals?

☐ Yes☐ No

What additional equipment is needed?

\_\_\_\_\_

\_\_\_\_\_

5. Have recordkeeping requirements been explained to and discussed with the site personnel?

☐ Yes☐ No

Is the site willing to and capable of maintaining the required records daily?

☐ Yes☐ No\_\_\_\_\_  
Signature of Sponsoring Organization\_\_\_\_\_  
Date\_\_\_\_\_  
Signature of Facility Representative\_\_\_\_\_  
Date